1. CALL TO ORDER & OPENING COMMENTS
   Mr. John Luke, Rector

2. APPROVAL OF AGENDA
   Mr. John Luke, Rector

3. APPROVAL OF MINUTES
   Mr. John Luke, Rector
   (March 22, 2017 and April 6, 2017 meetings and April 6, 2017 Joint meeting of the VCU Health System Authority Board of Directors and the VCU Board of Visitors)

4. PRESIDENT’S REPORT
   President Michael Rao

5. DIVERSITY AND INCLUSION STRATEGIC ACTION PLAN PRESENTATION
   Dr. Rosalyn Hobson Hargraves, Associate Vice President for Inclusive Excellence
   Action Item: Summary of the Diversity and Inclusion Strategic Plan
   Approval of the 2017-2022 Diversity and Inclusion Strategic Action Plan

6. HUMAN RESOURCES REDESIGN PRESENTATION
   Ms. Susan Carkeek, Senior Advisor to the President
   Action Item: Recommendation to approve a resolution endorsing the University’s redesigned Human Resources Policy under the University’s Management Agreement

7. FINANCE, BUDGET AND INVESTMENT COMMITTEE
   Mr. William Ginther, Chair
   Report to the Board of Visitors
   Proposed 2017-2018 Tuition and Fees and University Budget Plan Presentation
   Ms. Karol Kain Gray, Vice
**Action Items:**

a. Approval of the proposed 2017-2018 Tuition and Fees and University Budget Plan

b. Approval of the 2018-2024 Six Year Capital Plan

c. Approval of amendment to the Six Year Capital Plan to include Raleigh Building Renovation and the Scott House renovation

8. **VCU SCHOOL OF THE ARTS IN QATAR**  
    **PRESENTATION**  
    Dr. Akel I. Kahera, *Dean*

9. **ACADEMIC AND HEALTH AFFAIRS COMMITTEE**  
    Dr. Carol S. Shapiro, *Chair*

    Report to the Board of Visitors

    **Action Items:**

    i. Approval of creation two new programs:
        (a) Ph.D. in Chemical and Life Sciences Engineering
        (b) Ph.D. in Pharmaceutical Engineering

    ii. Approval of recommendation to rename the Center for Teaching Excellence to The Center for Teaching and Learning Excellence

10. **AUDIT, INTEGRITY AND COMPLIANCE COMMITTEE REPORT**  
    Mr. Steve Worley, *Chair*

    Report to the Board of Visitors

    **Action Items:**

    i. Approval of Audit, Integrity and Compliance Charter and Meeting Planner
    ii. Approval of the Proposed FY 2018 Audit Work Plan
    iii. Approval of the Proposed FY2018 University Ethics and Compliance Initiatives

11. **GOVERNANCE AND COMPENSATION COMMITTEE REPORT**  
    Ms. Phoebe Hall, *Chair*

    Report to the Board of Visitors

12. **UNIVERSITY RESOURCES COMMITTEE REPORT**  
    Mr. G. Richard Wagoner, Jr., *Chair*
Report to the Board of Visitors

13. CLOSED SESSION

Freedom of Information Act Sections 2.2-3711 (A) (1), (2), (3), (8), and (10) specifically:

a. Faculty Appointments and Changes in Status and Other Personnel Actions
   Promotion and Tenure Recommendations
   Dr. Michael Rao, President

b. Appointment of the Student Representatives, the Faculty Representative and the Staff Representative to the Board of Visitors
   Dr. Michael Rao, President

c. Closed session report from the Audit, Integrity and Compliance Committee
   Mr. Steve Worley, Chair

d. Closed session report from University Resources Committee
   Mr. G. Richard Wagoner, Jr., Chair

   i. Funds Eligible for Naming
   ii. Funds Eligible for Naming under $50,000

e. Closed session report from the Finance, Budget and Investment Committee
   Mr. William M. Ginther, Chair

f. Athletic Facilities Update - Acquisition or Disposition of Real Property
   Mr. Edward K. McLaughlin, Associate Vice President & Director of Athletics

Executive Session

   g. Closed session report from Governance and Compensation Committee
      i. Presidential Comprehensive Evaluation
      Ms. Phoebe Hall, Chair

14. RETURN TO OPEN SESSION AND CERTIFICATION

Action Items from Closed Session:

a. Approval of faculty appointments and changes in status, and promotion and tenure appointments

b. Appointment of the Student Representatives, the Faculty Representative and the Staff Representative to the Board of Visitors

Mr. John Luke, Rector
c. Approval of Funds Eligible for Naming and Funds Eligible for Naming under $50,000 as discussed in closed session

d. Approval of resolution authorizing the President and the Vice President of Administration and/or Vice President of Finance and Budget to negotiate, sign and deliver any and all documents necessary to effectuate the purchases of the property as discussed in closed session.

15. OTHER BUSINESS

16. ADJOURNMENT
March 22, 2017
BOARD MEMBERS PRESENT

Mr. John A. Luke Jr., Rector,
Ms. Phoebe Hall, Vice Rector
Dr. Carol Shapiro, Secretary
Mr. H. Benson Dendy III
Mr. William M. Ginter
Dr. Robert Holsworth
Ms. Colette W. McEachin
Mr. Keith Parker
Ms. Jacquelyn Stone
Dr. Shantaram Talegaonkar
Mr. G. Richard Wagoner, Jr.
Mr. Steve L. Worley

BOARD MEMBERS ABSENT

Mr. Ron McFarlane
Mr. Alexander B. McMurtrie, Jr.
Reverend Tyrone E. Nelson
Hon. John W. Snow

OTHERS PRESENT

President Michael Rao
Mr. Jacob Belue, Esq. - University Counsels Office
Ms. Michele N. Schumacher, J.D., Board Liaison
Ms. Madelyn Wessel, Esq., University Counsel
VCU students, faculty and staff

CALL TO ORDER

Mr. John A. Luke, Jr., Rector called the meeting to order at 12:52 p.m. in the James Cabell Library, 901 Park Avenue, Richmond, Virginia.
APPROVAL OF THE AGENDA

Mr. Luke asked for a motion to approve the Agenda as published. After a motion duly made a seconded, the Agenda as published was unanimously approved.

APPROVAL OF MINUTES

Mr. Luke asked for a motion to approve the minutes of the December 8, 2016 and December 9, 2016 meetings of the Virginia Commonwealth University Board of Visitors, and the December 9, 2016 joint meeting of the Finance, Budget & Investment Committee and the Board of Visitors as published. After motion duly made and seconded the Minutes of the December 8, 2016, December 9, 2016, meetings of the Board of Visitors, and the December 9, joint meeting of the Finance, Budget & Investment Committee and the Board of Visitors were unanimously approved. A copy of the minutes can be found on the VCU website at the following webpage http://www.president.vcu.edu/board/minutes.html.

PRESIDENT’S REPORT

President Michael Rao provided an oral report on activities and accomplishments at the University since the December 2016 Board of Visitors meeting, which included an update on the university’s strategic initiatives, specifically, the budget redesign and the human resources redesign projects, and the comprehensive Make It Real capital campaign. President Rao also provided a brief report on the impact of the 2017 Session of the General Assembly on the university’s budget. President Rao also acknowledged the recent incidents on college campuses surrounding free speech and reiterated VCU’s position on free speech.

President Rao also informed the Board of two recently retired distinguished faculty members that have received the appointment of Professor Emeriti, Dr. Richard Fine, English Department and Dr. Leonard Smock, former director of the VCU Rice Rivers Center.

REPORT OF THE ACADEMIC AND HEALTH AFFIARS COMMITTEE

Dr. Carol S. Shapiro, Chair of the Academic and Health Affairs Committee, provided the committee report and noted that the Committee heard the following reports and updates:

- An update from Dr. Gail Hackett, Provost and Vice President for Academic Affairs, on the Committee’s dashboard, the Diversity and Inclusion Strategic Plan, steps to promote respect and civility on campus, and real world experience;
- A strategic planning update from Dr. Hackett and Dr. Marsha D. Rapley, Vice President for Health Sciences and CEO of the VCU Health System,;
- A report on International Recruitment and Retention by Dr. Hackett;
- A report from the faculty representative, Ms. June Nicholson.
- A report from the staff representative, Ms. Sania Marcoccia.
- A report from the student representatives to the Board, Ms. Elizabeth Winslow and Mr. Alan Booth.
Dr. Shapiro noted that there was one action item from open session that required Board approval. She then moved on behalf of the Committee that the Board approve the amendments to the Doctor of Philosophy (Ph.D.) Nursing Program, and to authorize the President and/or his designee to submit any and all documentation required by the State Council of Higher Education for Virginia (SCHEV) and/or the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) for final approval of the amendments to the Doctor of Philosophy (Ph.D.) Nursing Program. After motion made and seconded the motion was unanimously adopted. A copy of the proposed amendments are attached hereto as Attachment A and is made a part hereof.

**REPORT OF THE AUDIT, INTEGRITY AND COMPLIANCE COMMITTEE**

Mr. Steve Worley, Chair of the Audit, Integrity and Compliance Committee provided Committee report and noted that the Committee heard the following reports and updates:

- Mr. William Cole, Executive Director of Audit and Compliance Services, reviewed the Committee dashboard.
- An update on the ERM Steering Committee Progress was received from Mr. Thomas Briggs, Assistant Vice President for Safety and Risk Management.
- An overview of the results from the fourth annual Ethics and Compliance Education module required of university team members was provided by Ms. Jacqueline Kniska, University Integrity & Compliance Officer. It was noted that the completion rates have shown a significant improvement over prior years.

**REPORT OF THE FINANCE, BUDGET AND INVESTMENT COMMITTEE**

Mr. William M. Ginther, Chair of the Finance, Budget and Investment Committee, provided the Committee report and reported that the Committee received several information items, including:

- Notification of Contract Award for Linden Street Improvements;
- Report from State Auditor on Financial Internal Controls;
- Foundations Annual Reports;
- Treasurer’s Report;
- Efficiency and Effectiveness Report – Dentistry;
- Revenue and Expense Summary as of December 31, 2016;
- VCU Intercollegiate Athletics Programs, NCAA Compliance for the Year Ended June 30, 2016;
- Capital Projects Update; and
- Dashboard Update.

Mr. Ginther also reported that the Committee had three action items that required Board action as well. Mr. Ginther then moved on behalf of the Committee that the Board authorize the issuance of a request for proposal for the Cisco Systems, Inc., Master Contract for technology equipment and services. On motion made and seconded, the motion authorizing the issuance of a request for proposal for the Cisco Systems, Inc. Master Contract for technology equipment and services passed with Mr. H. Benson Dendy III.
Mr. Ginther then moved on behalf of the Committee that the Board authorize the issuance of a request for proposal for custodial services for the Monroe Park Campus. After motion duly made and seconded, the motion authorizing the issuance of a request for proposal for custodial services for the Monroe Park Campus was unanimously adopted.

Mr. Ginther then moved on behalf of the Committee that the Board approve the resolution entitled “Approval of VCU Investment Policy”. After motion made and seconded the Board unanimously adopted the resolution entitle Approval of VCU Investment Policy. A copy of the resolution is attached hereto as Attachment B and is made a part hereof.

**REPORT OF THE GOVERNANCE AND COMPENSATION COMMITTEE**

Ms. Phoebe P. Hall, Chair of the Governance and Compensation Committee, provided the Committee report and noted that Ms. Michele N. Schumacher, the new Board Liaison and Assistant to the President, updated the Committee on the Committee Dashboard, including the status of the Bylaws review.

**REPORT OF THE UNIVERSITY RESOURCES COMMITTEE**

Mr. G. Richard Wagoner, Jr., Chair of the University Resources Committee, provided the Committee report and noted that the Committee heard the following reports and updates:

- Mr. Matthew Conrad, Executive Director of Government Relations, and Ms. Karah Gunther, Executive Director of Government Relations – Health System provided the government relations.
- Ms. Pamela D. Lepley, Vice President for University Relations provided a summary of communication highlights since the December 2016 meeting.
- Ms. Marti K.S. Heil, Vice President for Development and Alumni Relations provided a summary of fundraising activities since December 2016.

**CLOSED SESSION**

Mr. Luke moved that the Virginia Commonwealth University Board of Visitors convene into closed session pursuant to Sections 2.2-3711 (A) (1), (2), (3), (8), and 10, specifically, of the Virginia Freedom of Information Act for the discussion of personnel matters, more specifically relating to the performance, evaluation, and compensation of the President of Virginia Commonwealth University. The Rector asked that members of the Cabinet, Ms. Burke, Mr. Cole, Ms. Gentius, Ms. Schumacher and Ms. Wessel remain for the closed session.

**RECONVENED SESSION**

Following the closed session, the public was invited to return to the meeting. Mr. Luke called the meeting to order. On motion duly made and seconded, the following resolution of certification was approved by a roll call vote:
Resolution of Certification

BE IT RESOLVED, that the Board of Visitors of Virginia Commonwealth University certifies that, to the best of each member’s knowledge, (i) only public business matters lawfully exempted from open meeting requirements under this chapter were discussed in the closed meeting to which this certification resolution applies, and (ii) only such public business matters as were identified in the motion by which the closed session was convened were heard, discussed or considered by the Board.

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<tr>
<th>Vote</th>
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<th>Nays</th>
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<tr>
<td>Mr. John A. Luke, Jr., Rector</td>
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<td>Ms. Phoebe B. Hall, Vice Rector</td>
<td>X</td>
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<td>Dr. Carol S. Shapiro, Secretary</td>
<td>X</td>
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<td>Mr. H. Benson Dendy III</td>
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<td>Dr. Robert D. Holsworth</td>
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<td>Ms. Colette McEachin</td>
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<td>Mr. Keith Parker</td>
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<td>Ms. Jacquelyn E. Stone</td>
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<td>Dr. Shantaram Talegaonkar</td>
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<td>Mr. G. Richard Wagoner, Jr.</td>
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<tr>
<td>Mr. Steve L. Worley</td>
<td>X</td>
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<tr>
<td>Mr. William Ginther</td>
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</table>

All members present responding affirmatively, the resolution of certification was unanimously adopted.

After the closed session Mr. Luke asked for a motion to approve the following items: (i) the election of Ms. Phoebe Hall as Rector for a term commencing on July 1, 2017; (ii) the faculty appointments and changes in status and other personnel actions as discussed in closed session; (iii) the recipients of the Edward A. Wayne Medal as discussed in closed session; (iv) the awarding of the Board of Visitors Scholarship as discussed in closed session; (v) the Named Funds and Spaces Reports as discussed in closed session; and (vi) the engagement of Dr. John Casteen as the external evaluator for the President’s Comprehensive Evaluation.

After motion made and seconded, the Board unanimously approved (i) the election of Ms. Phoebe Hall as Rector for a term commencing on July 1, 2017; (ii) the faculty appointments and changes in status and other personnel actions as discussed in closed session; (iii) the recipients of the Edward A. Wayne Medal as discussed in closed session; (iv) the awarding of the Board of Visitors Scholarship as discussed in closed session; (v) the Named Funds and Spaces Report as discussed in closed session; and (vi) the engagement of Dr. John Casteen as the external evaluator for the President’s Comprehensive Evaluation.

ADJOURNMENT

With no further business to come before the Board, Mr. John A. Luke, Jr., Rector adjourned the meeting at 4:08 p.m.
Proposed Program Modification Brief

Proposal for Substantial Modifications to Doctor of Philosophy (Ph.D.) Nursing Program

Overview
The VCU School of Nursing requests approval to make substantial modifications in the existing Doctor of Philosophy (Ph.D.) program in Nursing. The program has been in existence since 1986 and is in need of modifications to bring the program in line with national trends and standards for excellence in Ph.D. Nursing programs.

The proposed changes are in response to national trends emphasizing a higher quality of research preparation. In its current form, the Ph.D. in Nursing program does not meet all of the standards advocated by the American Association of Colleges of Nursing and does not reflect current national trends for Ph.D. Nursing education. The proposed changes bring the program into alignment with these criteria and trends.

The program also is in need of revision to remain competitive and to increase the ability to attract high caliber students. These goals require that content and skills essential to the contemporary context of the discipline be incorporated in the program and that program content and delivery reflect high quality experiences that lead to successful achievement of the learning outcomes. The program modifications significantly enhance the research preparation of graduates and thus increase their likelihood of successful trajectories.

An increasing number of Ph.D. programs are available online, thus prospective students are able to choose from a sizeable array of quality programs for their academic pursuits. The program modifications are designed to ensure a high quality academic experience that builds on the expertise of faculty, reflects current trends and criteria, and maximizes student learning. For post-baccalaureate students, the modifications also significantly streamline time to degree resulting in decreased burden on these students and more timely entry into the workforce where there are significant shortages of Ph.D. prepared nurses. This streamlined approach is consistent with other Ph.D. Nursing programs in the U.S.

Target Implementation Date
Fall 2017

Demand
We anticipate a slow increase in student enrollment as the program becomes more appealing to a broader audience and able to compete with other programs across the nation. Current enrollment is 40 students with a mix of full and part time results in 25 FTE of students. With anticipated increased ability to attract students from a broader pool, we expect enrollment to grow ultimately to FTE of 45 students before graduations lead to more stable enrollment of approximately 54 students or 41 FTE.
**External Competition**
In 2014, there were 134 programs offering a Ph.D. degree in Nursing. We have identified Biobehavioral Research and Healthcare Quality as our specific tracks capitalizing on the expertise of the faculty and capabilities of VCU in general. Establishing a niche with specific areas of expertise distinguishes our program from much of the competition. The number of schools offering similar specific tracks is closer to 10. The amount of existing competition/duplication is stable and does not reflect any significant change from what the program has been facing for an extended period of time.

**Impact on Faculty**
School of Nursing faculty teach across all programs at the school. There are no faculty designated solely for the Ph.D. program. From the current faculty, the program will require 6.0 FTE. The number of unique individuals (headcount) providing this FTE is approximately 18. This is the number of faculty currently involved in program delivery and student advising and is sufficient to accommodate the modest projected increase in enrollment.

**Funding**
No additional resources are needed to implement the modifications sought in this proposal.

**Next Steps**
With BOV approval, this proposal will be submitted to the State Council of Higher Education in Virginia (SCHEV) and the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) for final approval.
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<th>Virginia Commonwealth University</th>
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<td>New delivery format</td>
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<td>CIP code (If degree program was approved after 1980.)</td>
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<td>9. Delivery Format(s), modified program (face-to-face/site-based, web-based, hybrid, satellite)</td>
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<td><strong>10. Term/year of initiation, modified program</strong></td>
<td><strong>11. Term/year of first graduates, modified program</strong></td>
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<td>Fall, 2017</td>
<td>Summer, 2020</td>
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<td><strong>12. For community college: local board approval date</strong></td>
<td><strong>13. Date approved by Board of Visitors or State Board for Community Colleges</strong></td>
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<td><strong>14. If the existing or modified program is/will be collaborative or joint, identify collaborating institution(s) and attach letter(s) of support from corresponding chief academic officers(s).</strong></td>
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<td><strong>15. Location of program within institution (complete for every level, as appropriate and specify the unit from the choices).</strong></td>
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<td>Department(s) or division of</td>
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<td>School(s) or colleges of</td>
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<td>Campus(es) or off-campus site(s)</td>
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<td><strong>16. Name, title, and telephone number(s) of person(s) other than the institution's chief academic officer who may be contacted by or may be expected to contact Council staff regarding the modified program.</strong></td>
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</tbody>
</table>
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List of programs offering Ph.D. in Nursing, American Association of Colleges of Nursing  
Fall 2015
Background

This proposal is for a substantial modification of the existing Ph.D. in Nursing program (CIP code 51.3808) which was initiated in 1986. Desired implementation date for the changes is Fall, 2017. The modifications include a reduction in total program credits from 61 to 58 (reduction of 3 credits) for post-master’s entry students; reduction of 21 credits from additional courses required of post-baccalaureate entry students prior to beginning the standard Ph.D. sequence, and revisions to the courses to strengthen the academic preparation of the students and to bring the program in line with national standards in the discipline. The modified program eliminates a series of courses that have been found to be ineffective in meeting student learning outcomes. These courses are replaced by courses that provide content essential to a quality program and that were lacking in the current curriculum. The removal of these courses also addresses a problem with the separation of application of knowledge from the acquisition of knowledge during the students’ programs of study. The program for post-baccalaureate entry students eliminates a number of credits that served no specific purpose in terms of the Ph.D. preparation and student learning outcomes but merely required additional credits. Few of the courses required for that entry pathway were related to preparation as an eventual Ph.D. prepared researcher. In addition, the length of that entry pathway resulted in a program that could not compete with other programs for high quality students due to excessive credits.

The modified program provides a higher quality experience to meet the overall purpose of the existing program, which is the preparation of nurses who will be highly skilled researchers and scientists. In other words, the overall purpose of the program is not changed; the new program requirements are designed to provide a higher quality experience, consistent with national standards in the discipline, and inclusive of emerging trends in the field and science. Graduates will be prepared for research positions in a variety of settings or for tenure-track faculty positions in academic settings. Graduates will be prepared to conduct high quality independent and collaborative research to advance science in a selected area of either biobehavioral research or healthcare quality.

In order to ensure consistency with national standards and scientific trends in the discipline, the Ph.D. program has undergone periodic simple modifications. Evaluation data revealing that students were not achieving benchmarks as intended led to a comprehensive activity to map content throughout the program and to compare the existing program to national standards and an array of competing schools. Gaps were identified both in student learning outcomes and in comparison to national standards for the discipline that led to a substantive modification. It also has been evident that the post-baccalaureate entry path was excessively long resulting in a deterrent to students enrolling via that pathway and a plan of study that was not in alignment with norms in the discipline. That pathway also was found to be excessive in requiring courses
that were not critical or appropriate to the degree plan and thus not relevant to student learning outcomes.

**Modified Degree Program**

The current Ph.D. program is modified in several ways. First, there is a change in courses required for the degree with a resulting reduction of 3 credits for post-master’s entry students. Second, there is a reduction of 21 credits for post-baccalaureate entry students who will now complete 9 credits (instead of 30 credits) of graduate level work before following the same Ph.D. course sequence as post-master’s students. Third, there are changes to program requirements overall including elective credits, a requirement for 6 credits of coursework to be completed in a discipline other than nursing, and changes in specific courses required. A comparison of the current and proposed curricula follows:

<table>
<thead>
<tr>
<th>Post-Master’s Entry Curriculum</th>
<th>Proposed Curriculum</th>
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<tr>
<td><strong>Current Curriculum</strong></td>
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<td>NURS 703 Philosophy of Human Science (3cr)</td>
<td>NURS 703 Philosophy of Human Science (3cr)</td>
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<td>NURS 704 Analysis and Construction of Nursing Models and Theories (3cr)</td>
<td>NURS 704 Analysis and Construction of Theory for Nursing Research (3cr)*</td>
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<td>NURS 700 Scientific Integrity: Responsible Conduct of Research (1cr)</td>
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<td>NURS 701 Statistical Methods for Nursing Research (3cr)</td>
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<td>Elective (3cr)^</td>
</tr>
<tr>
<td>Biobehavioral track cognate 2 (3cr)</td>
<td>Elective (3cr)^</td>
</tr>
<tr>
<td>OR Quality and Safety track:</td>
<td>OR Healthcare Quality track:*</td>
</tr>
<tr>
<td>-------------------------------</td>
<td>--------------------------------</td>
</tr>
<tr>
<td>NURS 610 Health Information and Data Management (3cr)</td>
<td>NURS 731 Foundations in Healthcare Quality Research (3cr)*</td>
</tr>
<tr>
<td>NURS 638 Health Policy Leadership and Advocacy (3cr)</td>
<td>NURS 732 Advanced Concepts in Healthcare Quality Research (3cr)*</td>
</tr>
<tr>
<td>NURS 731 Foundations in Quality and Safety Health Services Research (3cr)</td>
<td>Elective (3cr)^</td>
</tr>
<tr>
<td>NURS 732 Quality and Safety Measures in Health Services Research (3cr)</td>
<td>Elective (3cr)^</td>
</tr>
</tbody>
</table>

| NURS 725 Emerging Trends and Areas of Scientific Inquiry (3cr) | NURS 725 Synthesis and Emerging Trends in Scientific Inquiry (3cr)* |
| NURS 776 Research Program Development Seminar 1 (2cr) | Methods elective (3cr)^ |
| NURS 777 Research Program Development Seminar 2 (2cr) | |
| NURS 778 Research Program Development Seminar 3 (2cr) | |
| NURS 792 Directed Research Inquiry (2cr) OR NURS 796 Directed Research Experience (2cr) | NURS 638 Health Policy Leadership and Advocacy (3cr)+ |
| NURS 797 Directed Research Practicum (3cr) | NURS 797 Research Practicum (3cr)* |

<table>
<thead>
<tr>
<th>Total course credits 49</th>
<th>Total course credits 46</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dissertation 12 credits</td>
<td>Dissertation 12 credits</td>
</tr>
<tr>
<td>Total credits 61</td>
<td>Total credits 58</td>
</tr>
</tbody>
</table>

* title change  
# credit change  
+ existing required course in DNP program but new addition to Ph.D. program  
^ courses that may be used to meet a requirement that 6 credits be taken in a discipline other than nursing
## Post-Baccalaureate Entry Curriculum

<table>
<thead>
<tr>
<th>Current Curriculum</th>
<th>Proposed Curriculum</th>
</tr>
</thead>
<tbody>
<tr>
<td>NURS 512 Evidence Based Advanced Nursing Practice (3cr)</td>
<td>NURS 512 Evidence Based Advanced Nursing Practice (3cr)</td>
</tr>
<tr>
<td>NURS 504 Advanced Nursing Practice: The Biological Basis of health &amp; Illness Across the Lifespan (3cr)</td>
<td>NURS 610 Health Information and Data Management (3cr)</td>
</tr>
<tr>
<td>NURS 508 Policy, Processes and Systems for Advanced Nursing Practice (3cr)</td>
<td>NURS 508 Policy, Processes and Systems for Advanced Nursing Practice (3cr)</td>
</tr>
<tr>
<td>NURS 592 Directed Study in Nursing (3cr)</td>
<td>(Begin same Ph.D sequence as post-MS entry)</td>
</tr>
<tr>
<td>NURS 503 Ethics, Advanced Nursing Practice and the Healthcare Environment (3cr)</td>
<td>(Begin same Ph.D sequence as post-MS entry)</td>
</tr>
<tr>
<td>NURS 691 Nursing Research Practicum (3cr)</td>
<td>(Begin same Ph.D sequence as post-MS entry)</td>
</tr>
<tr>
<td>Additional 500-600 level courses (12cr)</td>
<td>(Begin same Ph.D sequence as post-MS entry)</td>
</tr>
<tr>
<td>(Begin same Ph.D sequence as post-MS entry)</td>
<td>(Begin same Ph.D sequence as post-MS entry)</td>
</tr>
<tr>
<td>NURS 703 Philosophy of Human Science (3cr)</td>
<td>NURS 703 Philosophy of Human Science (3cr)</td>
</tr>
<tr>
<td>NURS 704 Analysis and Construction of Nursing Models and Theories (3cr)</td>
<td>NURS 704 Analysis and Construction of Theory for Nursing Research (3cr)*</td>
</tr>
<tr>
<td>NURS 700 Scientific Integrity: Responsible Conduct of Research (1cr)</td>
<td>NURS 700 Scientific Integrity: Responsible Conduct of Research (1cr)</td>
</tr>
<tr>
<td>NURS 701 Statistical Methods for Nursing Research (3cr)</td>
<td>NURS 701 Statistical Methods for Nursing Research (3cr)</td>
</tr>
<tr>
<td>NURS 702 Advanced Statistical Concepts for Nursing Research (3cr)</td>
<td>NURS 702 Advanced Statistical Concepts for Nursing Research (3cr)</td>
</tr>
<tr>
<td>NURS 770 Quantitative Research Design (3cr)</td>
<td>NURS 770 Quantitative Research Design (3cr)*</td>
</tr>
<tr>
<td>NURS 772 Qualitative Research Design &amp; Analysis (4cr)</td>
<td>NURS 772 Qualitative Research (3cr)*</td>
</tr>
<tr>
<td>NURS 773 Perspectives on Research Design (3cr)</td>
<td>Methods elective (3cr)^</td>
</tr>
<tr>
<td>Biobehavioral track:</td>
<td>Biobehavioral track:</td>
</tr>
<tr>
<td>NURS 720 Foundations of Biobehavioral Clinical Research (3cr)</td>
<td>NURS 720 Foundations in Biobehavioral Research (3cr)*</td>
</tr>
<tr>
<td>NURS 721 Biobehavioral Measures in Clinical Research (3cr)</td>
<td>NURS 721 Advanced Concepts in Biobehavioral Research (3cr)*</td>
</tr>
<tr>
<td>Biobehavioral track cognate 1 (3cr)</td>
<td>Elective (3cr)^</td>
</tr>
<tr>
<td>Biobehavioral track cognate 2 (3cr)</td>
<td>Elective (3cr)^</td>
</tr>
</tbody>
</table>
The proposed changes will bring the Nursing Ph.D. program into alignment with national trends and recommendations regarding Ph.D. education in the discipline, to make the program appealing to a national audience of prospective students, and overall to strengthen the existing purpose of the program which is the preparation of nurse scientists with excellent research skills in Biobehavioral research and Healthcare Quality (renamed from the former Quality and Safety track).
track). The modification brings these two tracks into alignment with each other, preserves the opportunity for some individualization critical to the students’ areas of interest through electives and selected research methods courses, requires interdisciplinary course exposure, provides a more cohesive learning experience by integrating application with content acquisition, increases the quality of research preparation, and decreases credits to degree by 3 credits.

**Curriculum**

The modified curriculum will require 58 credits for students who have a Master’s degree upon entry and 67 credits for students who enter with a baccalaureate degree (See Appendices A-D for full time and part time plans of study for both entry options.) These credit hours include 28 credits of core coursework, 6 credits in a selected track (Biobehavioral research or Healthcare Quality research), 6 additional credits of research methods, 6 credits of electives, and 12 credits of dissertation. Post-baccalaureate entry students complete 9 credits of additional coursework before beginning the standard Ph.D. sequence.

The curriculum is designed to meet the recommendations of the American Association of Colleges of Nursing which include foundational content about the discipline, comprised of philosophy of science and theory development, statistics and research methods, study in a selected area of focus (track), health policy, and practical research skills. In addition to the required coursework, the modified program also includes a requirement that 6 credits be completed in a discipline other than nursing. These 6 credits are designed to involve either the individually selected methods courses or general electives. The curriculum is as follows (Course Descriptions are provided in Appendix E):

**Post-Baccalaureate Entry**
Post-baccalaureate entry students complete 9 credits as follows before beginning the same sequence as post-master’s Ph.D. students.

- NURS 512 Evidence Based Advanced Nursing Practice (3cr)
- NURS 610 Health Information and Data Management (3cr)
- NURS 508 Policy, Processes and Systems for Advanced Nursing Practice (3cr)

**Post-Master’s Ph.D. Sequence**

**Core courses** – 28 credits, required of all students

- NURS 638 Health Policy Leadership and Advocacy (3cr)
- NURS 700 Scientific Integrity: Responsible Conduct of Research (1cr)
- NURS 701 Statistical Methods for Nursing Research (3cr)
- NURS 702 Advanced Statistical Concepts for Nursing Research (3cr)
- NURS 703 Philosophy of Human Science (3cr)
- NURS 704 Analysis and Construction of Theory for Nursing Research (3cr)
- NURS 725 Synthesis and Emerging Trends in Scientific Inquiry (3cr)
- NURS 770 Quantitative Research (3cr)
- NURS 772 Qualitative Research (3cr)
NURS 797  Research Practicum (1-3 variable, total of 3 credits required)

Track – 6 credits
Biobehavioral Research Track
NURS 720  Foundations in Biobehavioral Research (3cr)
NURS 721  Advanced Concepts in Biobehavioral Research (3cr)

OR
Healthcare Quality Track
NURS 731  Foundations in Healthcare Quality Research (3cr)
NURS 732  Advanced Concepts in Healthcare Quality Research (3cr)

Methods Courses – 6 Credits
NURS 610  Health Information and Data Management
Others available via NEXus consortium or completed in another discipline

Electives – 6 Credits

**Of the 12 credits of methods and elective courses, at least 6 credits must be taken in a discipline other than Nursing

Total Course Credits 46 in Ph.D. course sequence

NURS 898  Dissertation  12 cr (minimum)

Total Program Credits – 58 post-master’s entry, 67 post-baccalaureate entry

The curriculum is based on a significant core of courses that represent essential content at this level of preparation. Along with that core, students select a track to emphasize in their studies. The Biobehavioral Research track is focused on social behavioral components of health and the relationship of those elements with biological components and markers. The Healthcare Quality track emphasizes health care delivery, safety, financing, and quality at a variety of levels including macro, systems, and site-specific perspectives. All of the courses included in the modified curriculum currently exist although name changes are proposed for several for purposes of clarity and consistency across the two tracks.

Along with the core coursework and the required courses in the selected track, each student has some flexibility in completing additional methods courses and electives (total 6 credits methods, 6 credits electives) specific to the area of interest and the planned research trajectory. Courses available in the DNP program may be of interest to a number of students. Other courses are available through the NEXus consortium of nursing schools which allow students from member schools to take courses from any other member school on a relatively seamless basis. Of the 12 credits of methods and elective courses, at least 6 credits must be completed in a discipline other than nursing. This is a critical requirement with regard to current standards and a growing emphasis on interprofessional collaboration and team science.
Progression for full time students is expected to be essentially the same as with the current curriculum for post-master’s entry students. For post-baccalaureate entry students, graduation can be reached with a reduction of two semesters of work, consequently one academic year earlier than with the current curriculum. For part-time students, post-master’s entry students may experience graduation one semester earlier than with the current curriculum and for post-Baccalaureate entry students, graduation may come as much as 4 semesters earlier than with the current curriculum.

**Student Learning Outcomes**

<table>
<thead>
<tr>
<th>Current Student learning outcomes</th>
<th>Proposed Student learning outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Current:</strong></td>
<td><strong>Proposed:</strong></td>
</tr>
<tr>
<td>1. Apply, transmit and generate knowledge in the discipline of nursing.</td>
<td>1. Synthesize and critically appraise extant knowledge and theory.</td>
</tr>
<tr>
<td>2. Construct, test and modify theories for nursing in the context of social, ethical, scientific, cultural and economic influences.</td>
<td>2. Design, conduct, and disseminate theoretically sound research that is relevant, rigorous, culturally competent, and consistent with standards of scientific integrity.</td>
</tr>
<tr>
<td>3. Analyze and synthesize knowledge from related disciplines for use in nursing.</td>
<td>3. Lead and collaborate in team science to develop knowledge that enhances health in ways that reflect nursing’s unique perspective.</td>
</tr>
<tr>
<td>4. Exhibit scientific integrity in the design and conduct of scholarly inquiry.</td>
<td>4. Communicate effectively to the scientific community, policy makers, and the public through appropriate scholarly mechanisms.</td>
</tr>
<tr>
<td>5. Engage in interdisciplinary collaboration in knowledge development and dissemination.</td>
<td></td>
</tr>
</tbody>
</table>

This program modification was guided by identification of new student learning outcomes that emphasize the scientific base of the discipline and the need for high quality preparation of researchers who can conduct independent and collaborative research in accordance with ethical standards, can communicate that science to a variety of audiences, and who will do work of significance and rigor. Proposed student learning outcomes reflect a stronger emphasis on acquisition of skills appropriate to research and scientific inquiry and to the current context in which that inquiry occurs, particularly in regard to interdisciplinary work and team science.
Assessment

The program assesses aspects of these learning outcomes throughout the student’s progression in a number of ways and on an ongoing basis. Course assignments are designed to assess attainment of the specific objectives of each course and the curriculum is designed to build as the student progresses. This allows continual assessment of attainment of the course objectives and progress toward the broader learning outcomes. Each course, and the faculty in each course, is evaluated at the completion of the course and results are shared with the department chair and associate dean to gain student input on course and program effectiveness and satisfaction with the academic experience. Upon successful completion of coursework, all Ph.D. students must pass a comprehensive examination. The comprehensive examination evaluates student knowledge and abilities related to the critical aspects of the program prior to the dissertation phase. The ability to prepare and successfully defend the dissertation proposal and, ultimately, the dissertation all serve as milestones and important markers of achievement related to desired learning outcomes. In this way, evaluation of student learning, course delivery, and faculty effectiveness all receive oversight and ongoing review by the associate dean, the department chair, and the program director.

VCU evaluates all academic programs via internal review mechanisms and the Ph.D. program undergoes review on the university schedule and monitors data in accordance with the university’s data management system, WEAVE. Within the School of Nursing, the associate dean and the curriculum committee share formal responsibility for program assessment and outcomes related to the Ph.D. program. Further, the School of Nursing employs a full-time academic program evaluation and analytics specialist to monitor, track, interpret and report assessment data and other data related to students learning outcomes. Program assessment is used to ensure continuous quality improvement and inform decision making regarding curriculum. These data include individual course evaluations by both faculty and students, student end-of-program evaluations and post-graduation surveys, and surveys of employers. All graduating students also complete an exit interview to identify strengths, weaknesses, and areas of improvement in the program and the student’s academic experience.

Employment Skills/Workplace Competencies

Specific core skills obtained through this program include:

1. Identify problems amenable to research and design studies to address those problems
2. Conduct independent and collaborative research to address important problems in health care settings and in communities
3. Prepare successful grant applications for competitive funding to support research
4. Develop science in a specific area of expertise related to the discipline
5. Use skills in communication in a work or professional setting to facilitate implementation of evidence based change
6. Articulate the nature of the discipline to others to maximizes the role of nursing in the shaping of healthcare and care delivery as well as policy
7. Function successfully in an academic role for those who choose this career path

These skills are similar to those in the original program with the primary change being improvement in the research skill attainment to provide students with research abilities that are appropriate to the current context and the need to be competitive in seeking research funding.

Students pursuing the Ph.D. degree are health care professionals licensed to practice as registered nurses in their country of origin. The attainment of the Ph.D. provides graduates with the skills to conduct independent research to address important health problems, work as a member of a research team, disseminate their work through written and verbal means, interact with members of the public and policymakers to improve health and health care, with special expertise in an area of focus related to the student's individual interest and the curriculum track pursued. Graduates often work in academic settings educating future nurses and pursuing successful research trajectories. Student learning outcomes also prepare graduates with research skills required by health settings to promote improved care based on translation of evidence along with the conduct of original research.

Rationale for Proposed Modified Degree Program

The proposed changes are in response to national trends emphasizing a higher quality of research preparation. In its current form, the Ph.D. in Nursing program does not meet all of the standards advocated by the American Association of Colleges of Nursing and does not reflect current national trends for Ph.D. Nursing education (AACN, 2010, The Research-Focused Doctoral Program in Nursing: Pathways to Excellence, See Appendix F for summary of standards. Full document available http://www.aacn.nche.edu/education-resources/Ph.D.Position.pdf). The proposed changes bring the program into alignment with these criteria and trends. The program also is in need of revision to remain competitive and to increase the ability to attract high caliber students. These goals require that content and skills essential to the contemporary context of the discipline be incorporated in the program and that program content and delivery reflect high quality experiences that lead to successful achievement of the learning outcomes. High performance by graduates engaging in successful research and academic careers is important to recruitment. The program modifications significantly enhance the research preparation of graduates and thus increase their likelihood of successful trajectories. An increasing number of Ph.D. programs are available on line, thus prospective students are able to choose from a sizeable array of quality programs for their academic pursuits. The program modifications are designed to ensure a high quality academic experience that builds on the expertise of faculty, reflects current trends and criteria, and maximizes student learning. For post-baccalaureate students, the modifications also significantly streamline time to degree resulting in decreased burden on these students and more timely entry into the workforce where there are significant shortages of Ph.D. prepared nurses (http://www.aacn.nche.edu/media-relations/fact-sheets/nursing-faculty-shortage).

Student Projected Enrollment

We anticipate a slow increase in student enrollment as the program becomes more appealing to a broader audience and able to compete with other programs across the nation. Growth will be
modest, however, due to the relatively small pool of nurses seeking Ph.D. degrees and the need to ensure program quality with existing resources. No additional resources are needed to implement the modifications sought in this proposal. Current enrollment of 40 students with a mix of full and part time results in 25 FTE of students. With anticipated increased ability to attract students from a broader pool, we expect enrollment to grow ultimately to FTE of 45 students before graduations lead to more stable enrollment of approximately 54 or 41 FTE. Existing program resources are adequate to manage the increased enrollment, particularly in view of the fact that enrollment recently has declined. The program modification also involves a reduction in credits which facilitates reassignment of current faculty to manage increased enrollment and research supervision. Consequently, we are positioned well to experience enrollment returning to previous target levels without the need for additional resources. If needed, there is the opportunity for internal reallocation and shifting of faculty workload within the school to accommodate increasing demand.

<table>
<thead>
<tr>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Year 4</th>
<th>Year 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>HDCT 40</td>
<td>FTES 25</td>
<td>HDCT 46</td>
<td>FTES 30</td>
<td>HDCT 52</td>
</tr>
</tbody>
</table>

Projected enrollment:

**Assumptions:**

Retention percentage: **80%**

Full-time students **70%** / Part-time students **30%**

Full-time students credit hours per semester: **9** (Fall/Spring) **3** Summer

Part-time students credit hours per semester: **6** (Fall/Spring), **3** Summer

Full-time students graduate in **4** years (11 semesters including 3 summers)

Part-time students graduate in **6** years (17 semesters including 5 summers)

**Duplication**

In 2014, there were 134 programs offering a Ph.D. degree in Nursing (AACN, Research-Focused Doctoral Programs, 2014 AACN survey). The vast majority of these are either fully online or offer an online component. In 2014, enrollment in Ph.D. nursing programs
increased by 3.2% over the previous year with 5,290 students currently enrolled. Growth in Ph.D. programs is slow, however, and most of recent experience has been the conversion of existing programs to an online or hybrid format with some schools continuing to be face-to-face only. The majority of these 134 programs, however, can be considered as competitors to the VCU program. Programs do vary in quality of faculty and ongoing research at the school in which the program is based, and programs can be either general in areas of specialty or may focus on specific areas of expertise. We have identified Biobehavioral Research and Healthcare Quality as our specific tracks capitalizing on the expertise of the faculty and capabilities of VCU in general. Establishing a niche with specific areas of expertise distinguishes our program from much of the competition. The number of schools offering similar specific tracks is closer to 10. The amount of existing competition/duplication is stable and does not reflect any significant change from what the program has been facing for an extended period of time.

Projected Resource Needs
The Ph.D. in Nursing program has been in existence since 1986. The proposed changes will not require any additional resources. It is possible that as enrollment increases, there may be a need for some internal reallocation to address the increased workload that accompanies enrollment increases. However, the program has been operating below capacity and there is room for expansion without any impact on current resource allocation. In addition, we anticipate that the program changes will streamline student progress leading to more timely graduation, minimizing the impact on current resources. There may be some decrease in revenue due to decreased requirements for post-Baccalaureate entry students, requirement of completing courses outside of the discipline for all students, and decrease in 3 credits for post-master’s Ph.D. sequence. Cohort sizes are relatively small in the program, especially the post-baccalaureate entry students which typically number fewer than 3 new students per year. Overall, the effect of reduced credit hours is expected to have minimal fiscal impact or effect on resources.

Resource Needs
VCU School of Nursing possesses adequate resources to initiate and operate the proposed Ph.D. program without compromising existing programs. No additional funding from VCU or other sources is needed. The program will depend on resources that currently exist in the current Ph.D. program. Additional equipment or infrastructure is not required to initiate or operate the program; the major program costs are for faculty. Specific resource needs are described in the following tables.

Full-time Faculty
No full-time faculty will teach exclusively in this proposed degree program. All faculty teach across degree programs at undergraduate and graduate levels.

Part-time Faculty
School of Nursing faculty teach across all programs at the school. There are no faculty designated solely for the Ph.D. program. From the current faculty, the program will require 6.0 FTE. The number of unique individuals (headcount) providing this FTE is approximately 18. This is the number of faculty currently involved in program delivery and student advising and is sufficient to accommodate the modest projected increase in enrollment.

The faculty members identified to teach in the proposed program have the requisite experience and expertise to support the program. They include both tenure-track and term (non-tenure track) faculty with faculty ranks that range from assistant professors to full professors. Identified faculty salaries, including fringe, average $137,200. The university’s fringe rate is 37.2% for faculty and staff. The annual calculated cost for faculty salaries to support the Ph.D. program, once the expected target enrollment year is met, is based on the calculation of credits that must be taught for the program.

**Adjunct Faculty**

No adjunct faculty will be utilized to initiate or sustain the proposed degree program.

**Graduate Assistants**

No graduate assistants will be used to initiate or sustain the proposed degree program.

**Classified Positions**

The School of Nursing has an Educational Program Coordinator for Doctoral Programs (classified staff position) to provide resources to students and faculty adequate to initiate and sustain the proposed degree program (0.5 FTE).

**Targeted Financial Aid**

No targeted financial aid is projected to initiate or sustain the proposed degree program.

**Equipment, including computers**

No additional resources are required to initiate or sustain the proposed degree program. VCU has sufficient resources for all faculty, including computers, office furnishings, and software. Because faculty teach across programs and the School supports other online delivery programs, needed equipment is already in place.

**Library**

No new resources are needed to initiate or sustain the proposed degree program. Each new and revised course in the Ph.D. program will be reviewed by the library per the CIM approval workflow prior to review by the Programs and Courses Committee; This report indicates that library resources, such as books, journals, and online access are sufficient to support all courses and sustain program operation.
Telecommunications

No additional resources are required to initiate or sustain the proposed degree program. All courses have been reviewed by VCU’s Technology Services Department, and do not represent new technology or expanded use requiring additional resources. The School of Nursing maintains an information technology group that supports existing online programs, and we have the resource capacity to initiate and sustain the proposed Ph.D. program.

Space

With the proposed revisions, the program remains online, with students physically present at the School of Nursing for 2-3 days at the beginning of each fall and spring semester. The current building is sufficient to initiate and sustain the proposed degree program.

Other Resources

No other resources are needed.

Part A: Answer the following questions about general budget information.

- Has the institution submitted or will it submit an addendum budget request to cover one-time costs? Yes_____ No X___

- Has the institution submitted or will it submit an addendum budget request to cover operating costs? Yes_____ No X___

- Will there be any operating budget requests for this program that would exceed normal operating budget guidelines (for example, unusual faculty mix, faculty salaries, or resources)? Yes_____ No X___

- Will each type of space for the proposed program be within projected guidelines? Yes X_____ No____

- Will a capital outlay request in support of this program be forthcoming? Yes_____ No X___
Part B: Fill in the number of FTE and other positions needed for the program

<table>
<thead>
<tr>
<th>Position</th>
<th>Program Initiation Year 2017-2018</th>
<th>Expected by Target Enrollment Year 2020-2021</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>On-going and reallocated</td>
<td>Added (New)</td>
</tr>
<tr>
<td>Full-time faculty FTE*</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>Part-time faculty FTE**</td>
<td>6.00</td>
<td>0.00</td>
</tr>
<tr>
<td>Adjunct faculty</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>Graduate assistants (HDCT)</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>Classified positions</td>
<td>0.50</td>
<td>0.00</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>6.50</td>
<td>0.00</td>
</tr>
</tbody>
</table>

*Faculty dedicated to the program. **Faculty effort can be in the department or split with another unit. *** Added after initiation year.

Part C: Estimated resources to initiate and operate the program

<table>
<thead>
<tr>
<th>Position</th>
<th>Program Initiation Year 2017-2018</th>
<th>Expected by Target Enrollment Year 2020-2021</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Salaries</td>
<td>Fringe Benefits</td>
</tr>
<tr>
<td>Full-time faculty</td>
<td>0.00</td>
<td>$0</td>
</tr>
<tr>
<td>Part-time faculty (faculty FTE split with unit(s))</td>
<td>6.00</td>
<td>$600,000</td>
</tr>
<tr>
<td>Adjunct faculty</td>
<td>0.00</td>
<td>$0</td>
</tr>
<tr>
<td>Graduate assistants</td>
<td>0.00</td>
<td>$0</td>
</tr>
<tr>
<td>Classified Positions</td>
<td>0.50</td>
<td>$0</td>
</tr>
</tbody>
</table>
### Personnel cost

<table>
<thead>
<tr>
<th></th>
<th>Salaries</th>
<th>Fringe Benefits</th>
<th>Total Personnel Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cost</td>
<td>$628,000</td>
<td>$0</td>
<td>$861,616</td>
</tr>
<tr>
<td>Funding Source</td>
<td>$0</td>
<td>$0</td>
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<tr>
<td></td>
<td>$628,000</td>
<td>$233,616</td>
<td>$861,616</td>
</tr>
<tr>
<td></td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td></td>
<td>$861,616</td>
<td>$0</td>
<td>$861,616</td>
</tr>
</tbody>
</table>

### Equipment
- $0

### Library
- $0

### Telecommunication costs
- $0

### Other costs
- $0

### TOTAL
- $861,616

---

**Part D: Resources and Certification Statement**

**Part D: Certification Statement(s)**

The institution will require additional state funding to initiate and sustain this program.

Yes

Signature of Chief Academic Officer

No

Signature of Chief Academic Officer

If “no,” please complete Items 1, 2, and 3 below.

1. **Estimated $$ and funding source to initiate and operate the program.**

<table>
<thead>
<tr>
<th>Funding Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reallocation within the department <em>(Note below the impact this will have within the department.)</em></td>
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2. Statement of Impact/Funding Source(s). A separate detailed explanation of funding is required for each source used and a statement of impact on existing resources.

Reallocation within the School or College

Year One Program Start-Up:

The School of Nursing has operated a Ph.D. program since 1986. This submission is a program change and does not represent new or require additional resources to operate. The resources for this program will come from the reallocation of current and existing assets within the School already devoted to the current Ph.D. program. In the first year of the program there will be a reallocation of $247,646 that represents the teaching faculty for the first year plus a half time staff employee to manage the program.

Full Program Implementation and Operation:

The School of Nursing has operated a Ph.D. program for over 30 years. This submission is a program change and does not represent new or require additional resources to operate. Once the program reaches its full enrollment the resources for ongoing support will come from the reallocation of current and existing assets within the School already devoted to the current Ph.D. program. In the full implementation year this will constitute a total reallocation of $861,616 that represents the teaching faculty for the first year plus a half time staff employee to manage the program. This amount is consistent with what is currently available and allocated to the existing program. The program has room to accommodate additional students given recent declines in enrollment.


If resources are reallocated from another unit to support this proposal, the institution will not subsequently request additional state funding to restore those resources for their original purpose.

     x    Agree

     _______ Disagree

____________________________
Signature of Chief Academic Officer

____________________________
Signature of Chief Academic Officer
Appendices
Appendix A

Virginia Commonwealth University – School of Nursing Ph.D. Program Full Time Plan of Study Post-Master’s Entry

<table>
<thead>
<tr>
<th>Course #</th>
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<th>Prerequisites</th>
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<td>Qualitative Research</td>
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<td>Fall</td>
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<td>NURS 701</td>
<td>Statistical Methods for Nursing Research</td>
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<td><strong>10/11</strong></td>
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**Appendix B**

Virginia Commonwealth University – School of Nursing Ph.D. Program Full Time Plan of Study

Post-Baccalaureate Entry

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<td>NURS 508</td>
<td>Policy, Processes and Systems for Advanced Nursing Practice</td>
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## Appendix C

Virginia Commonwealth University – School of Nursing Ph.D. Program Part Time Plan of Study Post-Master’s Entry

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<td>NURS 702</td>
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Appendix D
Virginia Commonwealth University - School of Nursing Ph.D. Program, Part Time Plan of Study, Post-Baccalaureate Entry

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<td>Health Policy Leadership</td>
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Appendix E
Courses, Descriptions, and Prerequisites

**CORE 25 credits**

**NURS 700 Scientific Integrity: Responsible Conduct of Research 1**
PREREQUISITES: Admission to a doctoral program
COURSE DESCRIPTION: This course is intended for students doing human subjects and/or organizational research and will enable students to develop and refine their understanding of and skills in applying ethics and law of research, with a focus on the National Institute of Health’s Office for Human Research Protections’ responsible conduct of research topics.

**NURS 701 Statistical Methods for Nursing Research 3**
PREREQUISITES: none
COURSE DESCRIPTION: Provides knowledge about data management, basic statistical tests, graphics and tables, and necessary software. Presents statistical tests: contingency table analysis, one- and two-sample t-tests, one- and two-factor analysis of variance (ANOVA), simple linear regression, multiple linear regression, and analysis of covariance (ANCOVA). Defines selected statistical terminology and concepts. Uses data from relevant studies to illustrate the various statistical tests and corresponding assumptions.

**NURS 702 Advanced Statistical Concepts for Nursing Research 3**
PREREQUISITES: NURS 701 – Statistical Methods for Nursing Research
COURSE DESCRIPTION: Presents advanced statistical methods and necessary statistical assumptions. Explains optimal modeling approaches for different data types and study designs. Data types: binary data, ordinal data, multinominal data, time-to-event data, longitudinal data, hierarchical data, and multivariate data. Analytic methods discussed will include nominal, ordinal, and multinominal logistic regression, Kaplin-Meier estimation, Cox Proportional Hazards model, mixed effects models, factor analysis, principal components, canonical correlation, classification and clustering.

**NURS 703 Philosophy of Human Science 3**
PREREQUISITES: Admission to the doctoral program in nursing.
COURSE DESCRIPTION: Critically analyzes philosophic perspectives and their relationship to human sciences; emphasizes analysis of the underlying epistemology and ontological assumptions of various philosophies. Explores philosophies of science and their influence on the emergence of knowledge in the human sciences, using nursing science as an example.

**NURS 704 Analysis and Construction of Theory for Nursing Research 3**
PREREQUISITES: NURS 703 pre-requisite or permission of course faculty.
COURSE DESCRIPTION: Focuses on analysis and critique of theoretical and conceptual foundations of research and the developmental processes associated with constructing nursing disciplinary knowledge. Emphasis
is placed on the processes for concept and theory development within the context of a research trajectory relevant to the discipline.

**NURS 725  Synthesis and Emerging Trends in Scientific Inquiry  3**
PREREQUISITES: NURS 720 and 721, or 731 and 732, or permission from instructor.

COURSE DESCRIPTION:
This course explores emerging trends in different areas of scientific inquiry to help students develop their understanding of the current and evolving research environment. Designed to synthesize the current state of the science, and apply it to the student’s own area of research. In addition, the student will apply approaches to incorporating emerging trends into an individualized research program and strategic career development.

**NURS 770  Quantitative Research  3**
PREREQUISITES OR COREQUISITES: NURS 701, Pre or Co-Req NURS 702
COURSE DESCRIPTION:
Provides knowledge and skills for identifying and selecting appropriate designs for quantitative health care research. Analyzes major groups of research designs for fit with various types of research questions. Examines strengths and weaknesses of the groups of research designs. Focuses on elements of research design that enhance rigor.

**NURS 772  Qualitative Research  3**
PREREQUISITES: NONE
COURSE DESCRIPTION:
Provides knowledge and skills for the design and implementation of qualitative health research and the management and analysis of qualitative data. Analyzes various research designs for ability to generate scientifically rigorous findings related to nursing or health care. Explores current challenges, debates, and controversies in qualitative researchers.

**NURS 797 Research Practicum (variable 1-3 credits, total of 3 required)  3**
PREREQUISITES: Admission to a doctoral program in nursing
COURSE DESCRIPTION: This course focuses on the development of skills and techniques for the conduct of research through active participation in either an ongoing faculty research project or an element of the student’s research area. The practicum is structured individually through discussion with the supervising faculty member. Emphasis is on the practical application of research skills and growth in knowledge related to the conduct of research.

**Track, 6 credits**

**Biobehavioral Track**

**NURS 720  Foundations in Biobehavioral Research  3**
PREREQUISITES: NURS 704 pre- or co-requisite or permission of course faculty.

Provides a foundation for critically examining and developing research frameworks and models used to conduct biobehavioral research. Explores assumptions about the dimensions,
interactions, and outcomes of biology and behavior from basic science through interventional approaches. Discusses current applications of biobehavioral research including translational research to improve nursing practice and clinical outcomes.

NURS 721  Advanced Concepts in Biobehavioral Research  3
PREREQUISITES:  NURS 720 or permission of course faculty

COURSE DESCRIPTION:
This course focuses on applying concepts and measures used in biobehavioral research. It also discusses biobehavioral research priority areas, current methods, and data sources. In addition, students will evaluate the types of measures used in biobehavioral research and relate these to their own focus areas. Students will apply their knowledge from NURS 720 to develop a research proposal incorporating a research framework, concepts and measures, and methods used in biobehavioral research.

OR

Healthcare Quality Track

NURS 731  Foundations in Healthcare Quality Research  3
PREREQUISITES:  NURS 704 pre- or co-requisite or permission of course faculty

COURSE DESCRIPTION:
This course provides a foundation for critically examining and developing research frameworks and models used to conduct healthcare quality research. The course explores assumptions about healthcare quality, its dimensions and outcomes at the individual, organizational, and population levels. Different approaches to healthcare quality research will be discussed. Finally, current applications of healthcare quality research to policy, health system accountability, and various levels of the provision of health care are reviewed.

NURS 732  Advanced Concepts in Healthcare Quality Research  3
PREREQUISITES:  NURS 731

COURSE DESCRIPTION:
This course focuses on applying concepts and measures used in healthcare quality research. It also discusses healthcare quality research priority areas, current quality and safety measures, and data sources. In addition, students will evaluate the types of measures used in healthcare quality research and relate these to their own research focus areas. Students will apply their knowledge from NURS 731 to develop a research proposal incorporating a research framework, concepts and measures, and methods used in healthcare quality research.
Additional Methods Courses – 6 Credits

Electives – 6 Credits

Of the above 12 credits (Additional Methods courses and Electives), at least 6 credits must be taken in a discipline other than Nursing

Total Course Credits 46

NURS 898  Dissertation  12 (minimum)
## Appendix F
AACN Pathways to Excellence, Summary of Curricular Recommendations

### Expected Outcomes and Curricular Elements of Ph.D. Programs in Nursing

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<tr>
<th>Role</th>
<th>Expected Outcomes</th>
<th>Core Curricular Elements</th>
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| Develop the Science       | • Master in-depth knowledge in a substantive area  
  • Appreciate the history and philosophy of science  
  • Understand the evolving nature of the nursing discipline  
  • Critique and integrate different science perspectives in the conduct of research  
  • Generate new ideas based on a critical evaluation of existing knowledge  
  • Conduct original research  
  • Utilize professional and research ethics and judgment in the conduct of research  
  • Assume leadership in the conduct of culturally competent scholarship to improve nursing practice  
  • Communicate research findings to lay and professional audiences and identify implications for policy, nursing practice, and the profession | • Sufficient formal and informal learning experiences to build scientific depth in an identified area of study  
  • History and philosophies of science  
  • Scientific methods, including team science  
  • Advanced research design and statistical methods  
  • Research ethics  
  • Data, information and knowledge management, processing and analysis  
  • Ways of knowing and habits of the mind  
  • Concepts and components of scholarship  
  • Mentored research experiences, including interdisciplinary mentors  
  • Preparation of research grants and manuscripts for publication  
  • Structured/guided clinical or practice experiences as needed to inform one’s area of science and its application |
| Steward the Discipline | • Integrate the components of scholarship: research, teaching, mentoring, and service to the profession  
• Communicate scholarship including peer refereed publications and presentations for professional interdisciplinary audiences  
• Understand the evolving roles and responsibilities of a nurse scholar | • Theoretical/scientific underpinnings of nursing and other disciplines  
• Practice knowledge that informs nursing science and its application  
• Culture of nursing and practice environments  
• Strategies to influence  

| Educate the Next Generation | • Conduct team science and participate and lead interdisciplinary research teams  
• Provide professional and research mentorship to others  
• Contribute to a global community of scholars  
• Contribute to the formal and informal education of future nurses through discovery, application, and integration | • Intra- and interdisciplinary communication skills  
• Leadership in intra- and interdisciplinary research teams  
• Mentoring  
• Leadership in culturally competent science  
• Art and science of teaching and learning  
• Mentored, integrative, applied experiences  

Appendix G

List of programs offering Ph.D. in Nursing American Association of Colleges of Nursing
Fall, 2015

University of Alabama at Birmingham
School of Nursing
Birmingham, AL

Arizona State University
College of Nursing and Healthcare Innovation
Phoenix, AZ

Grand Canyon University
College of Nursing and Health Sciences
Phoenix, AZ

The University of Arizona
College of Nursing
Tucson, AZ

University of Phoenix
College of Health Sciences and Nursing Division of Nursing
Phoenix, AZ

University of Arkansas for Medical Sciences
College of Nursing
Little Rock, AR

University of Central Arkansas Department of Nursing
201 Donaghey Avenue
Conway, AR

Azusa Pacific University
School of Nursing
Azusa, CA

Loma Linda University
School of Nursing
Loma Linda, CA

University of California-Davis
School of Nursing
Sacramento, CA

University of California-Irvine
Program in Nursing Science
Irvine, CA

University of California-Los Angeles
School of Nursing
Los Angeles, CA

University of California-San Francisco
School of Nursing
San Francisco, CA

University of San Diego
Hahn School of Nursing and Health Science
San Diego, CA

University of Colorado
College of Nursing
Aurora, CO

University of Northern Colorado
School of Nursing
Greeley, CO

Consortium Ph.D.
Southern Connecticut State University
Western Connecticut State University

University of Connecticut
School of Nursing
Storrs, CT

Yale University
School of Nursing
West Haven, CT
University of Delaware
School of Nursing
Newark, DE

Catholic University of America
The School of Nursing
Washington, DC

Barry University
College of Nursing and Health Sciences
Miami Shores, FL

Florida Atlantic University
Christine E. Lynn College of Nursing
Boca Raton, FL

Florida International University
College of Nursing and Health Sciences
Miami, FL

Nova Southeastern University
College of Nursing
Fort Lauderdale, FL

University of Central Florida
College of Nursing
Orlando, FL

University of Florida
College of Nursing
Gainesville, FL

University of Miami
School of Nursing and Health Studies
Coral Gables, F

University of South Florida
College of Nursing
Tampa, FL

Emory University
Nell Hodgson Woodruff School of Nursing
Atlanta, GA

Georgia Regents University
College of Nursing
Augusta, GA

Georgia Southern University
School of Nursing
Statesboro, GA

Georgia State University
College of Health and Human Sciences
Byrdine F. Lewis School of Nursing
Atlanta, GA

University of Hawaii at Manoa
School of Nursing and Dental Hygiene
Honolulu, HI

Idaho State University
Idaho State University School of Nursing
Pocatello, ID

Illinois State University Mennonite
College of Nursing
Normal, IL

Loyola University Chicago
Marcella Niehoff School of Nursing
Maywood, IL

University of Illinois at Chicago
College of Nursing
Chicago, IL

Indiana U-Purdue U (Indianapolis)
School of Nursing
Indianapolis, IN

The University of Iowa
College of Nursing
Iowa City, IA

University of Kansas
School of Nursing
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<td>College of Nursing</td>
</tr>
<tr>
<td>Tyler, TX</td>
<td>Spokane, WA</td>
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<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>University of Utah</td>
<td>West Virginia University</td>
</tr>
<tr>
<td>College of Nursing</td>
<td>School of Nursing</td>
</tr>
<tr>
<td>Salt Lake City, UT</td>
<td>Morgantown, WV</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>George Mason University</td>
<td>Marquette University</td>
</tr>
<tr>
<td>School of Nursing</td>
<td>College of Nursing Clark Hall</td>
</tr>
<tr>
<td>Fairfax, VA</td>
<td>Milwaukee, WI</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Hampton University</td>
<td>University of Wisconsin-Madison</td>
</tr>
<tr>
<td>School of Nursing</td>
<td>School of Nursing</td>
</tr>
<tr>
<td>Hampton, VA</td>
<td>Madison, WI</td>
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<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>University of Wisconsin-Milwaukee</td>
</tr>
<tr>
<td></td>
<td>College of Nursing</td>
</tr>
<tr>
<td></td>
<td>Milwaukee, WI</td>
</tr>
</tbody>
</table>
RESOLUTION OF THE BOARD OF VISITORS OF VIRGINIA COMMONWEALTH UNIVERSITY
APPROVAL OF VCU INVESTMENT POLICY

WHEREAS, on December 11, 2015, the Board approved the deposit of funds with the VCU Investment Management Company (“VCIMCO”) and delegation to VCIMCO of management and investment of the funds deposited with VCIMCO;

WHEREAS, prior to depositing funds with VCIMCO, the University adopted an Interim Investment Policy on April 25, 2016 which is limited in term to one year or less; and,

WHEREAS, the Board has heard and considered the Vice President for Finance and Budget’s recommendation for certain changes to the Interim Investment Policy as detailed in the final VCU Investment Policy.

NOW, THEREFORE BE IT RESOLVED BY THE BOARD OF VISITORS OF VIRGINIA COMMONWEALTH UNIVERSITY:

1. The Board on this date hereby approves and adopts the VCU Investment Policy as set forth in Exhibit A attached hereto and made a part hereof.

2. This Resolution shall take effect immediately upon its adoption.
[DRAFT] VCU Investment Policy

Policy Type: Board of Visitors
Responsible Office: Vice President for Finance and Budget, Treasury Services
Initial Policy Approved: 05/15/2009
Current Revision Approved: MM/DD/YYYY

Policy Statement and Purpose

Purpose:
The purpose of this Investment Policy is to define the financial goals, objectives, and legal limitations for the investment and management of Virginia Commonwealth University’s funds and to articulate the responsibilities of the University, its investment managers, and its investment advisors, including performance measures and reporting requirements. This policy is subject to (a) applicable federal and state laws, rules and regulations, (b) resolutions and policies of the Board of Visitors or the Board’s designated Committee, and (c) restrictions imposed by donors, funding agencies or deeds of trust. Nothing in this policy should be construed to authorize activities that violate any of the above.

This policy sets forth the parameters to be followed when investing university funds. The policy sets forth detailed asset allocations, permitted and prohibited investment options, and benchmarks for performance for operating and reserve funds and endowment funds. It also provides requirements of investment managers, and how investments managers should be monitored.

The University, by consultation with the Board of Visitors (the “Board”) or designated Committee, has the following responsibilities:

1. To comply with the Board’s asset allocation, diversification and quality guidelines for investment of funds as detailed in this policy;
2. To utilize approved qualified investment advisors, investment managers and consultants and to facilitate communication from these entities to the Board;
3. To ensure that the current spending requirements of the university are supported and the university’s daily cash flow demands are met; and
4. To monitor and evaluate investment results and communicate the results to the Board or its designated committee.

It is the policy of the University to invest its funds solely in the interest of the University and in a manner that will provide the highest investment return within the specified risk tolerance, and to ensure the university’s operating funds meet daily cash flow demands. In the investment of its funds, the University will conform to applicable federal and state laws and other legal requirements, including, but not limited to, that certain Management Agreement...
dated November 15, 2007, by and between the Commonwealth of Virginia and the Rector and Visitors of Virginia Commonwealth University, as amended (Chapter 594 of the 2008 Virginia Acts of Assembly, including Exhibit F, Policy Governing Financial Operations and Management, thereto); the Security for Public Deposits Act, Chapter 44 (§ 2.2-4400 et seq.) of Title 2.2 of the Code of Virginia, as amended; the Investment of Public Funds Act, Chapter 45 (§ 2.2-4500 et seq.) of Title 2.2 of the Code of Virginia, as amended; the Uniform Prudent Management of Institutional Funds Act, Chapter 11 (§ 64.2-1100 et seq.) of Title 64.2 of the Code of Virginia, as amended; and § 23-50.10:01 of the Code of Virginia, as amended, concerning the University’s investment of endowment funds, endowment income, and gifts.

The University shall invest its operating funds and operating reserves in accordance with the Investment of Public Funds Act. Gifts, local funds, and nongeneral fund reserves and balances may be invested in accordance with the Uniform Prudent Management of Institutional Funds Act.

In the pursuit of its investment objectives, the University may engage the services of one or more investment advisors (each, an “Investment Advisor”) who if authorized, may select investment managers (each, an “Investment Manager”) for the assets. All Investment Advisors and Investment Managers appointed by the university must agree to invest the university’s funds in accordance with this policy.

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Definitions

There are no definitions associated with this policy.

Financial Objectives and Standard of Care

The University’s investment funds are split between two tiers, a Short-Term Tier and a Long-Term Tier. Each Tier has financial objectives, structure, and investment guidelines. Investment activities for both Tiers shall be guided by the appropriate objectives. The objectives will be defined in the relevant sections below.

The Short-Term Tier consists of the University’s operating funds and operating reserves, and shall be invested in accordance with the Investment of Public Funds Act.

The Long-Term Tier consists of gifts, local funds, and nongeneral fund reserves and balances that are endowments or have been designated by the Board to be treated as endowment (“quasi-endowments”). It shall be invested in accordance with the Uniform Prudent Management of Institutional Funds Act.

All investments shall be made with the care, skill, prudence and diligence under the circumstances then prevailing that a prudent person in a like capacity and familiar with such matters would use in the conduct of an enterprise of a like character and with like aims.

Short-Term Tier

A. Fund Structure and Financial Objectives
The Short-Term Tier will be divided into two funds: the Primary Liquidity Fund and the Extended Duration Fund. As components of the Short-Term Tier, both the Primary Liquidity Fund and the Extended Duration Fund shall be invested in compliance with the Investment of Public Funds Act.

**Primary Liquidity Fund:** The Primary Liquidity Fund will be the first source of liquidity for the University (in concert with the University’s bank deposits). These funds must be readily available to meet the University’s operating needs, and as such, a portion of this fund shall be continuously invested in short-term investments such as money market mutual funds, bank deposits, or overnight repurchase agreements to ensure funds are readily available for the University’s obligations. Safety and liquidity are the primary objectives of this fund.

**Extended Duration Fund:** The remaining Short-Term Tier funds, collectively known as the Extended Duration Fund, will be a secondary source of liquidity for the University. These funds do not need to be continuously available to meet the University’s operating needs but may be called upon at some point during the University’s annual operating cycle. As such, they shall be invested in short- and intermediate-term investments. Preservation of capital and return are the primary objectives of this fund.

Both funds of the Short-Term Tier will consist of funds managed by external Investment Managers. Each fund and respective Investment Manager will have a specific mandate and related restrictions.

**B. Short-Term Tier Investment Managers Under the Vice President’s Purview**

The Board delegates the management and investment of the Short-Term Tier to the Vice President for Finance and Budget, including the selection, hiring, monitoring, and termination of Short-Term Tier Investment Managers. The Vice President for Finance and Budget in turn may delegate these responsibilities to an Investment Advisor, including the selection, hiring, monitoring, and termination of Short-Term Tier Investment Managers. Only firms meeting the requirements of the *Investment Manager Requirements for the Short-Term Tier* section below may serve as Short-Term Tier Investment Managers, and on an ongoing basis, Short-Term Tier Investment Managers must comply with the duties outlined in both the *Monitoring and Reporting for the Short-Term Tier* and the *Investment Manager Requirements for the Short-Term Tier* sections below.

The Vice President for Finance and Budget and the Investment Advisor shall act in good faith, and with the care that an ordinarily prudent person in a like position would exercise under similar circumstances, in: a) selecting Investment Managers; b) monitoring the Investment Manager’s performance and compliance with the scope and terms of this delegation.

**C. Authorized Investments**

Authorized investments for qualified public entities are set forth in the Investment of Public Funds Act of the Code of Virginia in § 2.2-4500 et seq. A qualified public entity is defined as any state agency having an internal or external public funds manager with professional investment management capabilities. The Investment of Public Funds Act authorizes qualified public entities to invest Short-Term Tier funds in the following securities:

1. *Treasury and Agency Securities:* Obligations issued or guaranteed by the U.S. Government, an agency thereof, or U.S. Government sponsored enterprises. This includes Agency Mortgage-Backed Securities. These securities can be held directly, in the form of repurchase agreements collateralized by such debt securities or in the form of registered money market or mutual funds provided that the portfolio is limited to such evidences of indebtedness (§ 2.2-4501).

[DRAFT] VCU Investment Policy - 4 - Approved: MM/DD/YYYY
2. **Non-Negotiable CD’s and Time Deposits**: Non-negotiable certificates of deposit and time deposits of Virginia banks and savings institutions federally insured to the maximum extent possible and collateralized under the Virginia Security of Public Deposits Act, § 2.2-4400 et seq. of the Code of Virginia, and having a maturity not greater than five years (§ 2.2-4500).

3. **Negotiable CD’s and Bank Deposit Notes**: Negotiable certificates of deposit and negotiable bank deposit notes of domestic banks and domestic offices of foreign banks with a rating of at least A-1 by Standard & Poor's and P-1 by Moody’s Investors Service for maturities of one year or less. For maturities over one year and not exceeding five years, a rating of at least AA- by Standard & Poor's and at least Aa3 by Moody’s Investors Service is required. This includes all levels of the “AA/Aa” rating (§ 2.2-4509).

4. **Repurchase Agreements**: Repurchase Agreements collateralized by securities of the U.S. Treasury, an agency thereof, or U.S. Government sponsored enterprises. The collateral on overnight or one day repurchase agreements is required to be at least 100% of the value of the repurchase agreement. Longer-term repurchase agreements are required to have collateralization in excess of 100% and be marked-to-market on a daily basis (§ 2.2-4507).

5. **Banker’s Acceptances**: Banker’s Acceptances with major domestic banks and domestic offices of foreign banks rated not lower than A-1 by Standard & Poor’s and P-1 by Moody’s Investors Service (§ 2.2-4504).

6. **Commercial Paper**: Prime quality commercial paper issued by domestic corporations. “Prime quality” shall be as rated by at least two of the following: Standard & Poor’s within its rating of A-1, Moody’s Investors Service within its rating of P-1, Fitch Investor’s Services within its rating of F-1, Duff and Phelps within its rating of D-1, or by their respective corporate successors, provided that at the time of any such investment the corporation meets the criteria specified in Section 2.2-4502 of the Code of Virginia (§ 2.2-4502).

7. **Money Market Funds**: Money market and other open-end investment funds provided that they are registered under the Securities Act of the Commonwealth of Virginia or by the Federal Investment Company Act of 1940, and that the investments by such funds are restricted to investments otherwise permitted by qualified public entities within the Commonwealth of Virginia (§ 2.2-4508).

8. **Corporate Debt**: Corporate notes and bonds having a credit rating of at least A3/A- or equivalent by two nationally recognized rating agencies, one of which must be either Standard & Poor’s or Moody’s Investors Service. This includes all levels of the “A” rating (§ 2.2-4510).

9. **Municipal Securities**: Taxable and tax-exempt municipal securities of the following provided that at the time of any such investment the municipal security meets the criteria specified in Section 2.2-4501 of the Code of Virginia, including: (i) of any state of the United States, (ii) of any county, city, town, district, authority or other public body of the Commonwealth of Virginia, (iii) of any city, county, town or district situated in any one of the states of the United States provided that they are the direct legal obligations of the city, county, town, or district and the city, county, town, or district has power to levy taxes on the taxable real property therein for the payment of such obligations without limitation of rate or amount. The municipal securities must be rated at least A3/A- or equivalent by two nationally recognized rating agencies, one of which must be either Standard & Poor’s or Moody’s Investors Service. This includes all levels of the “A” rating (§ 2.2-4501).

10. **Asset-Backed and Mortgage-Backed Securities**: Asset-backed and non-Agency mortgage-backed securities with a duration of no more than five years and rated no less than AAA by at least two nationally
recognized rating agencies, one of which must be either Standard & Poor's or Moody's Investors Service. Authorized mortgage-backed investments include Commercial Mortgage-Backed Securities (CMBS), Agency and Non-Agency (private label) Mortgage-Backed Securities (MBS & RMBS) including pass-throughs, Collateralized Mortgage Obligations (CMO's) and Planned Amortization Classes (PACs) (§ 2.2-4511).

11. **International Bank for Reconstruction and Development, Asian Development Bank, and African Development Bank Obligations:** Dollar-denominated bonds and other obligations issued, guaranteed or assumed by the International Bank for Reconstruction and Development, by the Asian Development Bank, or by the African Development Bank having a maturity of no longer than five years and a credit rating of at least AAA by Standard & Poor’s and Aaa by Moody’s Investors Service (§ 2.2-4501).

Should a security be downgraded to a level that ceases to meet the credit quality guidelines above, the Investment Manager shall notify the University in writing within one business day of the downgrade. Unless the Vice President for Finance and Budget authorizes the retention of any such downgraded security in writing, such security must be sold within 30 calendar days.

Finally, the Short-Term Tier can only be invested in senior debt. Subordinated and convertible debt securities are not authorized investments. Investment securities not specifically authorized above are prohibited.

D. **Prohibited Investments or Actions**

1. Inverse floaters, Credit Default Swaps (CDSs), Collateralized Debt Obligations (CDOs), Collateralized Loan Obligations (CLOs), and Interest Only (IO), Principal Only (PO) and Z-tranche securities.
2. Futures, options, options on futures, margin buying, leveraging and commodities. Forward trades are permitted as long as they are procured during normal “when issued” periods for individual markets and as long as cash is reserved or a security will mature to cover the purchase at the time of settlement.
3. Securities with the ability to defer interest, securities with the ability to convert to perpetual maturities and 144A securities.

E. **Asset Allocation Parameters and Short-Term Tier Constraints**

**Asset Allocation**

As noted above, the Primary Liquidity Fund is intended to provide for the day-to-day working capital requirements of the University, with the remaining balance of the Short-Term Tier being invested in the Extended Duration Fund.

**Duration and Maturity Limitations**

As noted above, the maximum maturity may not exceed five years on any single non-negotiable certificate of deposit or time deposit of Virginia banks, negotiable certificate of deposit or bank deposit note. For any single asset-backed or mortgage-backed security, the maximum duration may not exceed five years at the time of purchase; in the event the duration subsequently exceeds this limit, the external Investment Manager shall notify the University in writing within one business day, and the University, in consultation with the Investment Manager, shall decide the appropriate action.
The target duration for the Primary Liquidity Fund and Extended Duration Fund are as follows:

<table>
<thead>
<tr>
<th>Fund</th>
<th>Target Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary Liquidity Fund</td>
<td>9 months or less</td>
</tr>
<tr>
<td>Extended Duration Fund</td>
<td></td>
</tr>
<tr>
<td>Short Duration Portfolio</td>
<td>Per Applicable Benchmark</td>
</tr>
<tr>
<td>Intermediate Duration Portfolio</td>
<td>Per Applicable Benchmark</td>
</tr>
<tr>
<td>Long Duration Portfolio</td>
<td>Per Applicable Benchmark</td>
</tr>
</tbody>
</table>

Primary Liquidity Fund and Extended Duration Fund Investment Managers’ maximum duration is limited to +10% of the Target Duration or the Applicable Benchmark duration. For purposes of this section, duration shall be defined as the industry standard effective duration as calculated by Bloomberg or other well established models available. In addition, for purposes of asset-backed securities and mortgage-backed securities, the prepayment assumptions to be used in the effective duration calculation will be the Bloomberg median prepayment assumptions or other well established models available. In the absence of a median prepayment assumption available in Bloomberg, the assumption to be used shall be that which provides the greatest principal protection to the portfolio.

F. Performance Measures

In accordance with the performance measures by which the State Council of Higher Education for Virginia measures investment performance as published annually in the Commonwealth of Virginia’s Appropriations Act, the University should achieve a three-year average rate of return at least equal to the iMoney.net money market index fund.

Investment Managers should produce returns commensurate with the following benchmarks:

<table>
<thead>
<tr>
<th>Fund</th>
<th>Benchmark(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary Liquidity Fund</td>
<td>iMoney.net Money Market Index</td>
</tr>
<tr>
<td>Extended Duration Fund</td>
<td>BofA ML 1-3 Year US Treasury Index, BofA ML 1-3 year Govt/Corp Index, Barclays 1-3 Year Government Bond Index, or other benchmark(s) that more appropriately reflects the Investment Manager(s) style within this portfolio.</td>
</tr>
<tr>
<td>Intermediate Duration Portfolio</td>
<td>Barclays US Treasury Intermediate Index, Barclays US Intermediate Government Index, Barclays US Intermediate Gov/Credit Bond Index, or other benchmark(s) that more appropriately reflects the Investment Manager(s) style within this portfolio.</td>
</tr>
<tr>
<td>Long Duration Portfolio</td>
<td>Barclays US Aggregate Treasury Index, Barclays U.S. Aggregate Government Index, Barclays US Aggregate Bond Index, or other benchmark(s) that more appropriately reflects the Investment</td>
</tr>
</tbody>
</table>
Manager(s) style within this particular portfolio.

**Diversification**

Each individual portfolio within the Primary Liquidity Fund and the Extended Duration Fund will be diversified with no more than 3% of the value of the respective portfolios invested in the securities or individual trusts of any single issuer. This limitation shall not apply to the U.S. Government, an agency thereof, or U.S. Government sponsored enterprises, securities fully insured and/or fully guaranteed by the U.S. Government, or money market funds.

At the time of purchase, the maximum percentage in each eligible security type for the Primary Liquidity Fund and the Extended Duration Fund shall be maintained as follows:

<table>
<thead>
<tr>
<th>Authorized Investments</th>
<th>Primary Liquidity Fund</th>
<th>Extended Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>U.S. Treasury and Agency Securities</td>
<td>100%</td>
<td>100%</td>
</tr>
<tr>
<td>Non-Negotiable Certificates of Deposit (CDs)</td>
<td>5%</td>
<td>0%</td>
</tr>
<tr>
<td>Negotiable CDs and/or Negotiable Bank Deposit Notes</td>
<td>20%</td>
<td>20%</td>
</tr>
<tr>
<td>Overnight/Open Treasury/Agency Repurchase</td>
<td>100%</td>
<td>0%</td>
</tr>
<tr>
<td>Overnight/Open non-Treasury/Agency Repurchase</td>
<td>50%</td>
<td>0%</td>
</tr>
<tr>
<td>Term Repurchase Agreements</td>
<td>20%</td>
<td>0%</td>
</tr>
<tr>
<td>Banker’s Acceptances</td>
<td>40%</td>
<td>0%</td>
</tr>
<tr>
<td>Commercial Paper</td>
<td>35%</td>
<td>0%</td>
</tr>
<tr>
<td>Money Market Funds</td>
<td>35%</td>
<td>10%</td>
</tr>
<tr>
<td>Corporate Notes/Bonds</td>
<td>25%</td>
<td>40%</td>
</tr>
<tr>
<td>Municipal Securities</td>
<td>10%</td>
<td>10%</td>
</tr>
<tr>
<td>Asset-Backed Securities</td>
<td>0%</td>
<td>40%</td>
</tr>
<tr>
<td>Combined Agency MBS, Agency/Private CMOs, CMBS,</td>
<td>0%</td>
<td>50%</td>
</tr>
<tr>
<td>Agency Mortgage-Backed Securities (MBS)</td>
<td>0%</td>
<td>50%</td>
</tr>
<tr>
<td>Agency CMOs (including PACs)</td>
<td>0%</td>
<td>10%</td>
</tr>
<tr>
<td>Commercial Mortgage-Backed Securities (CMBS)</td>
<td>0%</td>
<td>10%</td>
</tr>
<tr>
<td>Private Label Residential Mortgages (including CMOs)</td>
<td>0%</td>
<td>5%</td>
</tr>
<tr>
<td>International Development Bank Obligations</td>
<td>0%</td>
<td>5%</td>
</tr>
</tbody>
</table>

**G. Monitoring and Reporting for the Short-Term Tier**

Quarterly, the Board will receive an investment report for the Short-Term Tier. At a minimum, this report will include the following information:

- Investment performance report (net of fees) for the Short-Term Tier as a whole, the Primary Liquidity Fund, and the Extended Duration Fund, versus the appropriate benchmarks above.
- Actual asset allocations of the Short-Term Tier as a whole, the Primary Liquidity Fund, and the Extended Duration Fund versus the allocation requirements above.
- Any investments that required management notification (such as credit downgrades or duration
changes), along with management’s response to such notifications.

- A statement from each Investment Manager certifying compliance with the Virginia Investment of Public Funds Act.

Annually, the Board will receive the following information on the Short-Term Tier. At a minimum, this will include:

- A certificate showing compliance with the Investment Policy, specifically the Authorized Investments, the Prohibited Investments or Actions, and the Asset Allocation Parameters and Short-Term Tier Constraints sections above.

H. Investment Manager Requirements for the Short-Term Tier

Before an organization can provide investment management services for the Short-Term Tier, it must confirm in writing that it has received and reviewed this Investment Policy, and is able to comply with it. Investment Managers are not permitted to deviate from their specifically announced investment strategy and may utilize discretion only as approved by the Board or its designee. Only firms having the following qualifications may serve as Short-Term Tier Investment Managers:

- Registered with the Securities and Exchange Commission under the Investment Advisers Act of 1940 or exempt from registration;
- Must have provided to the University an annual updated copy of Form ADV, if applicable;
- Must be registered to conduct business in the Commonwealth of Virginia; and,
- Must have proven experience in providing investment management services under the Virginia Investment of Public Funds Act.

Short-Term Tier Investment Managers shall have the following duties:

- Accept assets as directed by the University, and invest those assets in strict adherence to the Investment Policy and applicable laws;
- Reconcile all transactions, market values, security holdings, and cash flows with the custodian within 30 days of each month end;
- Calculate monthly performance against the appropriate benchmark and provide a written report within 35 days of each month end;
- Calculate quarterly performance against the appropriate benchmark and provide a written report within 35 days of each quarter end;
- Provide written quarterly reports concerning investment strategy, including quantitative performance attribution based on interest rate risk, sector allocation and security selection;
- Provide a written economic and investment outlook report within 30 days of each month end;
- Meet as required to review portfolio and investment results;
- Issue prospectuses, annual reports and other pertinent information on a timely basis;
- Notification in advance of potential material changes in fund and/or firm operations under consideration or about to be implemented, including organizational or strategy changes that may impact asset management;
- Notification of any non-compliant securities as further outlined above; and,
- Provide a written quarterly statement attesting to compliance with the Investment Policy.
Long-Term Tier

A. Fund Structure

The Long-Term Tier shall consist of endowments and Board-designated quasi-endowment funds. As the Long-Term Tier consists of gifts, local funds, and nongeneral fund reserves and balances designated for long-term investment, it shall be invested in accordance with the Uniform Prudent Management of Institutional Funds Act. The primary objective for the Long-Term Tier is to maximize long-term real returns commensurate with the University’s risk tolerance.

B. Financial Objectives

The funds invested in the Long-Term Tier shall be treated as long-term assets managed to maintain the purchasing power of those assets in the future while being mindful of the cash flow and liquidity requirements of both the University and the endowed funds. The objective of the Long-Term Tier is to achieve a rate of return in excess of inflation, CPI + 5%, at an acceptable level of risk.

The University does not expect that this investment objective will be achievable every year and, as a result, investment performance over rolling three-, five-, and ten-year periods will carry greater significance. The University also recognizes that some level of investment risk, including volatility and illiquidity, is necessary to achieve the long-term investment objectives of the Long-Term Tier.

The overall return will be evaluated against a policy portfolio benchmark consisting of the sum of different asset class benchmarks weighted in accordance with the long-term policy targets designed to meet the Long-Term Tier objective.

C. Long-Term Tier Investment Managers Under the Investment Advisor’s Purview

The Board has delegated the management and investment of the Long-Term Tier to the Investment Advisor, including the selection, hiring, monitoring, and termination of Investment Managers.

The Investment Advisor shall act in good faith, and with the care that an ordinarily prudent person in a like position would exercise under similar circumstances, in: a) selecting Investment Managers; b) monitoring the Investment Manager’s performance and compliance with the scope and terms of the delegation.

D. Authorized Investments

Given the uncertain and continuously evolving nature of investment markets, no static list of security types, asset classes, or definitions of investment management strategies can continuously express prudent practice. Therefore, the process by which investment decisions are developed, analyzed, adopted, and executed must satisfy relevant standards of care.

Note: Investment Managers or the Investment Advisor are to vote shareholders’ proxies. Such voting is to be solely in the best interest of the University’s investment funds, given their stated policies, goals, and objectives. Where Investment Managers or fund vehicles have their own terms regarding proxy voting, such terms will be an attribute to be considered by the Investment Advisor in selecting and monitoring Investment Managers and investment vehicles.

E. Strategic Asset Allocation and Performance Measures
In developing and implementing the Long-Term Tier’s Strategic Asset Allocation, the University will consider the risks associated with each investment strategy and asset class. Based upon the University’s risk tolerance together with capital market risk and return estimates, the Board sets a strategic asset allocation designed to achieve the objectives stated in this Investment Policy Statement. The strategic asset allocation shall be prudently diversified across asset classes. The Investment Advisor will invest the Long-Term tier in keeping with the parameters of the Strategic Asset Allocation below.

Benchmark indices are selected to represent the risk and return profile of each asset class. Investment Managers should produce returns commensurate with the benchmark indices noted below. Key considerations in selecting benchmark indices include broad market coverage, ability to passively invest, transparency of index construction, and objectivity of the index provider.

### Strategic Asset Allocation

<table>
<thead>
<tr>
<th>Asset Class</th>
<th>Long-Term</th>
<th>Range</th>
<th>Benchmark</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equity</td>
<td>65</td>
<td>40-70</td>
<td>MSCI All Country World Equity</td>
</tr>
<tr>
<td>Real Assets</td>
<td>10</td>
<td>0-20</td>
<td>MSCI All Country World Real Estate</td>
</tr>
<tr>
<td>Fixed Income &amp; Cash</td>
<td>25</td>
<td>5-45</td>
<td>Barclays Aggregate Bond Index</td>
</tr>
<tr>
<td>TOTAL</td>
<td>100%</td>
<td></td>
<td>Blended Benchmark</td>
</tr>
</tbody>
</table>

### Annual Review

Annually, the University and the Investment Advisor shall informally review and assess the Strategic Asset Allocation. Should the University and the Investment Advisor recommend changes to the Strategic Asset Allocation, such proposed changes will be brought to the Board for consideration.

### Rebalancing Policy

The Strategic Asset Allocation reflects targets for exposures to various asset classes as described above. The purpose of rebalancing is to maintain the risk/reward relationship implied by the stated long-term Strategic Asset Allocation targets adopted by the Board. The actual asset mix may diverge from the target allocations as a result of either market fluctuations or explicit tactical decisions. The role of the ranges within the Strategic Asset Allocation is to allow for these short-term fluctuations, and to provide limits for tactical investing.

Under stable market conditions, should actual asset allocations reside outside of allowable Strategic Asset Allocation ranges, unless otherwise directed by the Board, the Investment Advisor will rebalance the Long-Term Tier without prior Board discussion or approval. Cash flows to, from, or within the Long-Term Tier will be used to rebalance the portfolio and may be allocated to or from the underlying Investment Managers within the Long-Term Tier.

The Board recognizes that under distressed market conditions, a less static approach to rebalancing could provide the University with increased flexibility and a more productive rebalancing process. Should the Investment Advisor believe that such distressed market conditions exist, the Investment Advisor shall: 1) immediately notify the Vice President for Finance and Budget; 2) provide the Vice President for Finance and
Budget with recommended intermediate-term deviations from the Strategic Asset Allocation; and, 3) provide the Vice President for Finance and Budget with a recommended timeline for rebalancing the Long-Term Tier. After reviewing these three items with the Investment Advisor, the Vice President for Finance and Budget may authorize intermediate-term deviations from the Strategic Asset Allocation targets, and shall provide the recommended deviations and recommended rebalancing timeline for the Board’s review at its next meeting.

F. Investment Restrictions

The Strategic Asset Allocation specifies risk controls in the form of ranges for Long-Term Tier asset allocations. The ranges help to ensure adequate diversification, define the permissible magnitude of tactical asset allocation, and constrain both absolute and relative risk. Risk control ranges express the acceptable variation from target asset allocations in normal market and economic circumstance. The Investment Advisor shall adopt risk controls principally considering the Tier’s tolerance for volatility, but also to ensure adequate liquidity.

It is understood that the Long-Term Tier must maintain a certain minimum level of liquidity that is sufficient to fund annual programmatic activities, as well as to fund ongoing expenses, including capital calls. The Investment Advisor shall monitor on an ongoing basis the liquidity of the Long-Term tier.

G. Spending Policy

The Spending Policy is meant to maintain the purchasing power of the Long-Term Tier, with the goal of providing a predictable and sustainable level of income. This policy reflects industry best practices. Under this policy, spending for a given year equals the trailing three-year average market value of the Long-Term Tier multiplied by the long-term spending rate of 4.5%.

Payouts under this Spending Policy may exceed spending needs. At the discretion of the Vice President for Finance and Budget, the University may elect to reinvest any portion of the annual distribution back into the Long-Term Tier. Each year, the Vice President for Finance and Budget will prepare a report for the Board showing the current spending rate and allocating distributions made under this Spending Policy between those funds spent to meet University needs and those funds reinvested into the Long-Term Tier.

Annual payouts are assumed, and distributions are to be made on or before September 30. The University will communicate the planned distribution to the Investment Advisor approximately 180 days in advance, and the Advisor will confirm receipt to the University within five business days. The Advisor is responsible for wiring funds as directed.

If investment funds fall “underwater,” the payout and distribution shall be in compliance with Virginia’s Uniform Prudent Management of Institutional Funds Act (§ 64.2-1100 et seq., "UPMIFA"), determining what portion of investment funds is appropriate for expenditure or accumulation as the University and Investment Advisor determine is prudent for the uses, benefits, purposes, and duration for which the investment funds were established.

H. Monitoring and Reporting for the Long-Term Tier

Quarterly, the Board will receive the following information on the Long-Term Tier. At a minimum, this report will include:
• Investment performance (net of fees) for the Long-Term Tier versus the appropriate benchmarks above.
• Actual asset allocations of the Long-Term Tier versus the Strategic Asset Allocations above.

Annually, the Board will receive the following information on the Long-Term Tier. At a minimum, this report will include:

• A report showing compliance with the Investment Policy, specifically the Authorized Investments, Strategic Asset Allocation and Performance Measures, and Investment Restrictions sections above.
• The report specified under the Spending Policy section above.

I. Investment Advisor Requirements for the Long-Term Tier

The Investment Advisor shall prudently select Investment Managers, acting in good faith, and with the care that an ordinarily prudent person in a like position would exercise under similar circumstances. Investment Managers are not permitted to deviate from their specifically announced investment strategy and may utilize discretion only as approved by the Investment Advisor.

The Investment Advisor shall have the following duties:

• Accept assets as directed by the University, and invest those assets in strict adherence to the Investment Policy and applicable laws;
• Reconcile all transactions, market values, security holdings (as applicable), and cash flows with the Investment Managers;
• Calculate performance against the appropriate benchmarks and provide regular, written reports to the University;
• Provide written reports to the University concerning investment strategy, including quantitative performance attribution;
• Meet as required with the University to review portfolio and investment results;
• Issue investment reports and other pertinent information on a timely basis to the University;
• Notify the University of potential material changes in fund and/or firm operations under consideration or about to be implemented, including organizational or strategy changes that may impact asset management;
• Notify the University of any non-compliant investments; and,
• Provide a written quarterly statement attesting to compliance with the Investment Policy.

Establishing a Prudent Split Between the Short-Term and Long-Term Tiers

The Short-Term and Long-Term Tiers have markedly different liquidity, risk, and volatility profiles. It is the responsibility of the Office of the Vice President for Finance and Budget to perform ongoing analysis and monitoring to recommend to the Board a prudent split between the Short-Term and Long-Term Tiers.

Procedures

No changes to this policy may be implemented without the approval of the Board or its designated committee.
Violations

Passive Violations: A passive violation occurs when a portfolio breaches a prescribed policy limit as the result of changing market or credit conditions, with the exception of the procedures outlined under the Rebalancing Policy for the Long-Term Tier. Other than the routine rebalancing of the Long-Term Tier under stable market conditions as described in the Rebalancing Policy above, the University will report any violations to the Board and will remedy the violation within 90 days of the violation or prepare a written action plan that must be approved by the Board to extend the cure period beyond 90 days. The Investment Advisor and Investment Managers will continuously monitor the portfolio for any Passive Violations, and will promptly notify the University as they occur.

Active Violations: An active violation is caused by entering into an agreement or investment that breaches a policy limit at inception or thereafter through failure to monitor. In this case, a thorough analysis of controls will ensue and be reported to the Board, as soon as practical. The Investment Advisor will seek to remedy the violation when possible. In instances where the costs of immediate remedies are prohibitive, the Investment Advisor will develop a corrective action plan that will be submitted to the University within a reasonable time after the violation occurs, not to exceed 15 days, depending on the nature and complexity of the investment holding and transactions needed to remedy the violation. The Board will be apprised of the violation at its next regularly scheduled meeting along with the corrective action plan.

Legal and Other Considerations

The University will, in accordance with law, consider the present and anticipated financial requirements of the University, the expected total returns on investments, the capital markets environment and general economic conditions.

§ 64.2-1102 of the Virginia Uniform Prudent Management of Institutional Funds Act sets forth specific factors that, if relevant, must be considered in managing and investing the Long-Term Tier. These factors are:

1. The duration and preservation of the Long-Term Tier funds;
2. The purposes of the institution and the Long-Term Tier funds;
3. General economic conditions;
4. The possible effect of inflation or deflation;
5. The expected total return from income and the appreciation of investments;
6. Other resources of the institution; and
7. The investment policy of the institution.

Upon request, the University will present an analysis of these factors to the Board to assist its decisions regarding managing and investing the Long-Term Tier.

Conflicts of Interest

Virginia Commonwealth University will take reasonable measures to assess the independence of Investment Advisors and Investment Managers. Members of the Board, University Management, and members of the internal financial staff must disclose any conflicts of interest prior to the approval of an Investment Advisor or Investment Manager.
Who Should Know This Policy

- The Board of Visitors;
- The Investment Advisor;
- Investment Managers;
- The staff of the Office of the Vice President for Finance and Budget, and
- Administrative staff involved in the appointment of Investment Advisors or Investment Managers.

Contacts

General and specific questions about this policy can be answered by VCU’s Office of the Vice President for Finance and Budget

Related Documents

- VCU Debt Management Policy

Revision History

This policy supersedes the following archived policies:

- **05/15/2009** VCU Operating Pool Investment Policy
- **09/19/2013** VCU Investment Policy
- **04/25/2016** VCU Investment Policy - Interim

Forms

There are no forms associated with this policy.

FAQ

There are no FAQ associated with this policy and procedures.
Exhibit A

Annual Investment Conflict of Interest Disclosure Statement

Name: 

Title: 

[List of current investment advisor(s) and investment manager(s) – to be provided by staff]

Except for the relationships and investments set forth below, I hereby certify to the best of my knowledge that neither I, nor any of my household family members has a material ownership interest in, or is directly employed by, any investment advisor or investment manager engaged by the University. I hereby certify that I have received a copy of the University’s current Investment Policy, have read and understand the policy, and agree to abide by its provisions pertaining to Conflicts of Interest.

Signature: _______________

Print Name: _______________

Date: _______________

PLEASE LIST ANY EXCEPTIONS BELOW:
April 6, 2017
BOARD MEMBERS PRESENT

Mr. John A. Luke Jr., Rector,
Ms. Phoebe Hall, Vice Rector
Mr. H. Benson Dendy III
Mr. William M. Ginther
Dr. Robert Holsworth
Reverend Tyrone E. Nelson
Mr. Keith Parker
Hon. John W. Snow
Ms. Jacquelyn Stone
Dr. Shantaram Talegaonkar
Mr. G. Richard Wagoner, Jr.
Mr. Steve L. Worley

BOARD MEMBERS ABSENT

Dr. Carol Shapiro, Secretary
Mr. Ron McFarlane
Ms. Colette W. McEachin
Mr. Alexander B. McMurtrie, Jr.

OTHERS PRESENT

President Michael Rao
Mr. Jacob Belue, Interim University Counsel
Ms. Karol Kain Gray, Vice President for Finance and Budget
Ms. Michele N. Schumacher, J.D., Board Liaison
VCU students, faculty and staff

CALL TO ORDER

Mr. John A. Luke, Jr., Rector called the meeting to order at 1:06 p.m. in the James Cabell Library, 901 Park Avenue, Richmond, Virginia, and welcomed the Board members to this
important informational meeting.

**APPROVAL OF THE AGENDA**

Mr. Luke asked for a motion to approve the Agenda as published. After a motion duly made a seconded, the Agenda was unanimously approved.

**PRESIDENT’S REMARKS**

President Michael Rao stated that the purpose of the meeting was to provide the Board with a comprehensive overview of the University’s fiscal year 2017-2018 budget directly related to the University’s educational mission. He noted that the one of the Board’s most important responsibilities is the approval of the budget, which should align fiscal decisions with the university’s mission and goals.

**BUDGET DISCUSSION**

Ms. Karol Kain Gray led the Board in a discussion concerning the University’s 2017-2018 proposed budget, and provided the fiscal year 2018 budget overview. The budget overview included a review of enrollment management; student success; financial aid; education and general funds (delineating the sources of these funds as well as the expenditures associated with these funds); fiscal year 2018 unavoidable costs and highest priority needs of the university; and a review of the tuition and fee recommendations. She informed the Board that the materials presented were for informational and discussion purposes and that no action on either the budget or a tuition increase would be taken at this meeting. Ms. Gray reminded that Board that such actions would be taken, however, at the May 12, 2017 meeting. A copy the budget presentation is attached hereto as Attachment A and is made a part hereof.

Mr. Luke thanked Ms. Gray for her presentation.

**CLOSED SESSION**

Mr. Luke then moved that the Board of Visitors of Virginia Commonwealth University convene a closed session under Sections 2.2-3711 (A) (1), (3), and (10) of the Freedom of Information Act for the discussion of personnel matters, more specifically relating to the performance evaluation of the President; for the discussion or consideration of the acquisition of real property for a public purpose, or of the disposition of publicly held real property, where discussion in an open meeting would adversely affect the bargaining position or negotiating strategy of the public body specifically related to the acquisition of real property adjacent to the Monroe Park Campus; and for the discussion and consideration of honorary degrees or special awards, specifically special awards for Spring Commencement 2017. The motion was seconded, and after a vote was unanimously adopted.
RECONVENED SESSION

Following the closed session, the public was invited to return to the meeting. Mr. Luke called the meeting to order. On motion duly made and seconded, the following resolution of certification was approved by a roll call vote:

Resolution of Certification

BE IT RESOLVED, that the Board of Visitors of Virginia Commonwealth University certifies that, to the best of each member’s knowledge, (i) only public business matters lawfully exempted from open meeting requirements under this chapter were discussed in the closed meeting to which this certification resolution applies, and (ii) only such public business matters as were identified in the motion by which the closed session was convened were heard, discussed or considered by the Board.

Vote Ayes Nays
Mr. John A. Luke, Jr., Rector X
Ms. Phoebe B. Hall, Vice Rector X
Mr. H. Benson Dendy III X
Dr. Robert D. Holsworth X
Mr. Keith Parker X
Ms. Jacquelyn E. Stone X
Dr. Shantaram Talegaonkar X
Mr. G. Richard Wagoner, Jr. X
Mr. Steve L. Worley X

Mr. William M. Ginther, Rev. Tyrone E. Nelson and Hon. John Snow left the meeting during closed session and were not present for the roll call. All remaining members present responding affirmatively, the resolution of certification was unanimously adopted.

Mr. Luke asked for a motion (1) to authorize the President and/or his designee to negotiate the purchase price as discussed in closed session and to negotiate such other terms and conditions for the properties discussed in closed session, and if said properties are acquired to amend the six (6) year capital plan so that the properties shall be included in the plan; and (2) to approve the award of an honorary degree as discussed in closed session; and (3) to approve the President’s Goals and Priorities as were discussed in closed session. After motion duly made and seconded the motion was unanimously adopted.

ADJOURNMENT

With no further business to come before the Board, Mr. John A. Luke, Jr., Rector adjourned the meeting at 4:48 p.m.
Board of Visitors
Budget Workshop
April 6, 2017
Agenda

• Introduction
• Enrollment Management, Student Success, Financial Aid
• Budget Overview: Educational & General Funds, Tuition & Fees
• FY 2018 Budget Development
  - FY 2018 Unavoidable Costs & Highest Priority Needs
  - Tuition & Fee Recommendations
• Next Steps
Enrollment Management, Student Success
Fall Full-Time and Part-Time Enrollments

(Including Nondegree-Seekers)

Source: VCU Reporting Center, Insights, Fall Enrollment Headcount by Time Status; Office of Planning & Decision Support. Prepared by Division of Strategic Enrollment Management
Fall Graduate Headcount

(Degree-Seekers Only)

Source: VCU Reporting Center, Insights 2.0, Office of Planning & Decision Support. Prepared by Division of Strategic Enrollment Management.
Fall Undergraduate Headcount

(Degree-Seekers Only)

Source: VCU Reporting Center, Insights 2.0, Office of Planning & Decision Support. Prepared by Division of Strategic Enrollment Management
# Undergraduate Full-Time Equivalency Enrollment by Residency

<table>
<thead>
<tr>
<th>Fall</th>
<th>In-state</th>
<th>Out-of-state</th>
<th>Total</th>
<th>% In-state</th>
<th>% Out-of-state</th>
</tr>
</thead>
<tbody>
<tr>
<td>2001</td>
<td>12,667</td>
<td>835</td>
<td>13,502</td>
<td>94%</td>
<td>6%</td>
</tr>
<tr>
<td>2002</td>
<td>13,452</td>
<td>1,097</td>
<td>14,549</td>
<td>93%</td>
<td>7%</td>
</tr>
<tr>
<td>2003</td>
<td>13,847</td>
<td>1,235</td>
<td>15,082</td>
<td>92%</td>
<td>8%</td>
</tr>
<tr>
<td>2004</td>
<td>14,780</td>
<td>1,369</td>
<td>16,149</td>
<td>92%</td>
<td>8%</td>
</tr>
<tr>
<td>2005</td>
<td>15,700</td>
<td>1,535</td>
<td>17,235</td>
<td>91%</td>
<td>9%</td>
</tr>
<tr>
<td>2006</td>
<td>16,324</td>
<td>1,833</td>
<td>18,157</td>
<td>90%</td>
<td>10%</td>
</tr>
<tr>
<td>2007</td>
<td>16,886</td>
<td>1,969</td>
<td>18,855</td>
<td>90%</td>
<td>10%</td>
</tr>
<tr>
<td>2008</td>
<td>17,497</td>
<td>2,211</td>
<td>19,708</td>
<td>89%</td>
<td>11%</td>
</tr>
<tr>
<td>2009</td>
<td>18,110</td>
<td>2,247</td>
<td>20,357</td>
<td>89%</td>
<td>11%</td>
</tr>
<tr>
<td>2010</td>
<td>18,581</td>
<td>2,162</td>
<td>20,743</td>
<td>90%</td>
<td>10%</td>
</tr>
<tr>
<td>2011</td>
<td>18,817</td>
<td>2,275</td>
<td>21,092</td>
<td>89%</td>
<td>11%</td>
</tr>
<tr>
<td>2012</td>
<td>18,848</td>
<td>2,473</td>
<td>21,321</td>
<td>88%</td>
<td>12%</td>
</tr>
<tr>
<td>2013</td>
<td>18,826</td>
<td>2,648</td>
<td>21,474</td>
<td>88%</td>
<td>12%</td>
</tr>
<tr>
<td>2014</td>
<td>19,073</td>
<td>2,664</td>
<td>21,734</td>
<td>88%</td>
<td>12%</td>
</tr>
<tr>
<td>2015</td>
<td>18,987</td>
<td>2,597</td>
<td>21,584</td>
<td>88%</td>
<td>12%</td>
</tr>
<tr>
<td>2016</td>
<td>19,211</td>
<td>2,436</td>
<td>21,647</td>
<td>89%</td>
<td>11%</td>
</tr>
</tbody>
</table>
## Freshman Class Profile

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Number in Class</td>
<td>3,615</td>
<td>3,803</td>
<td>3,617</td>
<td>3,588</td>
<td>3,586</td>
<td>4,090</td>
<td>4,234</td>
</tr>
<tr>
<td>HS GPA Middle 50%</td>
<td>3.16-3.75</td>
<td>3.19-3.81</td>
<td>3.29-3.88</td>
<td>3.29-3.88</td>
<td>3.28-3.90</td>
<td>3.30-3.95</td>
<td>3.30-3.96</td>
</tr>
<tr>
<td>SAT Middle 50%</td>
<td>990-1190</td>
<td>980-1180</td>
<td>1020-1190</td>
<td>1010-1190</td>
<td>1010-1200</td>
<td>1000-1190</td>
<td>990-1190</td>
</tr>
<tr>
<td>Out-of-state</td>
<td>449</td>
<td>522</td>
<td>546</td>
<td>516</td>
<td>431</td>
<td>518</td>
<td>477</td>
</tr>
<tr>
<td>International</td>
<td>79</td>
<td>99</td>
<td>138</td>
<td>125</td>
<td>111</td>
<td>119</td>
<td>117</td>
</tr>
<tr>
<td>Percent Minority</td>
<td>44%</td>
<td>45%</td>
<td>44%</td>
<td>46%</td>
<td>46%</td>
<td>49%</td>
<td>50%</td>
</tr>
<tr>
<td>First Generation</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>33%</td>
<td>33%</td>
<td>35%</td>
</tr>
</tbody>
</table>

Source: VCU Reporting Center, Insights, Office of Planning & Decision Support and VCU’s Operational Data Store. Prepared by Division of Strategic Enrollment Management
Graduation Rates

Undergraduate, degree-seeking only

Four-Year Graduation Rate

2001: 20%  2007: 34%
2002: 23%  2008: 40%
2003: 25%  2009: 45%
2004: 27%  2010: 51%
2005: 30%  2011: 54%
2006: 30%  2012: 57%
2007: 34%  2010: 57%
2008: 37%  2011: 59%
2009: 36%  2012: 62%

Six-Year Graduation Rate

2001: 47%  2007: 49%
2002: 49%  2008: 51%
2003: 51%  2009: 51%
2004: 54%  2010: 57%
2005: 57%  2011: 57%
2006: 59%  2012: 62%

Source: Office of Planning & Decision Support, UG Retention & Graduation Matrix by Cohort, Race and Gender. Prepared by Division of Strategic Enrollment Management
New Students Taking 15+ Credits

Fall 2013 was the first semester of the per-credit-hour tuition model

Source: VCU’s Operational Data Store. Prepared by Division of Strategic Enrollment Management.
Financial Aid
Undergraduate Resident Students

VCU Undergraduate Resident Students
Financial Aid Profile
2013-14 through 2015-16

Includes full-time and part-time, degree-seeking students only

1 Includes full-time and part-time, degree-seeking students only
Pell Eligible Students and Total Unmet Need

In-State Pell Eligible Students ¹

as % of Total In-State UG Students

<table>
<thead>
<tr>
<th></th>
<th>CWM</th>
<th>UVA</th>
<th>VT</th>
<th>VCU</th>
</tr>
</thead>
<tbody>
<tr>
<td>Est. Poverty Level</td>
<td>15%</td>
<td>14%</td>
<td>19%</td>
<td>32%</td>
</tr>
</tbody>
</table>

Funds to Cover 100% of Unmet Need for Resident Pell Eligible Students

(millions)

<table>
<thead>
<tr>
<th></th>
<th>13-14</th>
<th>14-15</th>
<th>15-16</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Non-Poverty Level Unmet Need</td>
<td>$53.3</td>
<td>$52.7</td>
<td>$58.9</td>
</tr>
<tr>
<td>Total Poverty Level Unmet Need</td>
<td>$11.4</td>
<td>$14.6</td>
<td>$15.7</td>
</tr>
</tbody>
</table>

¹ Includes full-time and part-time, degree-seeking students only

² SCHEV Research data sets on financial aid do not define poverty level for Pell Grants, but do provide family income ranges. Estimate reflects # of Pell recipients with family income <$20K for 2015-2016.
## Student Financial Assistance

<table>
<thead>
<tr>
<th>Sources</th>
<th>2015-16 Actual</th>
<th>2016-17 Projected</th>
<th>Change Over 2015-16</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal</td>
<td>$ 30,181</td>
<td>$ 30,769</td>
<td>1.9%</td>
</tr>
<tr>
<td>State</td>
<td>25,609</td>
<td>29,900</td>
<td>16.8%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$ 55,790</strong></td>
<td><strong>$ 60,669</strong></td>
<td><strong>8.7%</strong></td>
</tr>
<tr>
<td>University:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Educational and General</td>
<td>$ 51,606</td>
<td>$ 54,520</td>
<td>5.6%</td>
</tr>
<tr>
<td>Other University Resources</td>
<td>15,396</td>
<td>16,279</td>
<td>5.7%</td>
</tr>
<tr>
<td><strong>Total University Sources</strong></td>
<td><strong>$ 67,002</strong></td>
<td><strong>$ 70,799</strong></td>
<td><strong>5.7%</strong></td>
</tr>
<tr>
<td><strong>Total Sources of Student Financial Aid</strong></td>
<td><strong>$ 122,792</strong></td>
<td><strong>$ 131,468</strong></td>
<td><strong>7.1%</strong></td>
</tr>
</tbody>
</table>
Budget Overview: Educational & General Funds, Tuition & Fees
Virginia Commonwealth University  
FY 2016-2017 University Budget Plan  
Educational and General Programs (E&G)  
(in thousands)

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A. SOURCES</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>State General Fund</td>
<td>170,061</td>
<td>$175,470</td>
<td>3.2%</td>
</tr>
<tr>
<td>Nongeneral Fund</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Student Tuition and Fees</td>
<td>383,168</td>
<td>399,230</td>
<td>4.2%</td>
</tr>
<tr>
<td>2. Grants and Contracts</td>
<td>8,222</td>
<td>8,222</td>
<td>0.0%</td>
</tr>
<tr>
<td>3. Sales and Services</td>
<td>11,444</td>
<td>11,250</td>
<td>-1.7%</td>
</tr>
<tr>
<td>Total Nongeneral Fund Sources</td>
<td>402,834</td>
<td>418,702</td>
<td>3.9%</td>
</tr>
<tr>
<td><strong>Total Sources</strong></td>
<td>572,895</td>
<td>$594,172</td>
<td>3.7%</td>
</tr>
</tbody>
</table>

| **B. USES**          |                    |                    |                     |
| 1. Instruction       | 301,133            | $304,521           | 1.1%                |
| 2. Research          | 11,103             | 12,344             | 11.2%               |
| 3. Public Service    | 6,162              | 5,662              | -8.1%               |
| 4. Academic Support  | 89,947             | 95,210             | 5.9%                |
| 5. Student Services  | 15,442             | 17,219             | 11.5%               |
| 6. Institutional Support | 77,015             | 80,659             | 4.7%                |
| 7. Operation and Maintenance of Plant | 53,426            | 54,967             | 2.9%                |
| 8. Scholarships and Fellowships | 13,873            | 19,272             | 38.9%               |
| 9. Contingency       | 4,794              | 4,318              | -9.9%               |
| **Total Uses**       | 572,895            | $594,172           | 3.7%                |
Educational & General Funds Expenditure Trend

(FY 2013-FY 2016)

<table>
<thead>
<tr>
<th>Category</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
</tr>
</thead>
<tbody>
<tr>
<td>Instruction</td>
<td>51.3%</td>
<td>50.4%</td>
<td>51.1%</td>
<td>50.5%</td>
</tr>
<tr>
<td>Academic support</td>
<td>17.8%</td>
<td>16.8%</td>
<td>13.8%</td>
<td>14.6%</td>
</tr>
<tr>
<td>Institutional</td>
<td>10.9%</td>
<td>11.8%</td>
<td>14.8%</td>
<td>11.4%</td>
</tr>
<tr>
<td>Support</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>O&amp;M</td>
<td>10.8%</td>
<td>11.5%</td>
<td>11.1%</td>
<td>14.6%</td>
</tr>
<tr>
<td>Student Services</td>
<td>4.7%</td>
<td>4.7%</td>
<td>4.1%</td>
<td>4.3%</td>
</tr>
<tr>
<td>Research</td>
<td>2.9%</td>
<td>3.4%</td>
<td>3.4%</td>
<td>3.2%</td>
</tr>
<tr>
<td>Public Service</td>
<td>1.6%</td>
<td>1.4%</td>
<td>1.7%</td>
<td>1.4%</td>
</tr>
</tbody>
</table>
Educational & General (E&G) Fund Revenues-Major Sources FY 2017 Budget Plan

- Tuition and fees are the major Educational & General revenue source ($399M/67%)

- State General Funds support the bulk of the remainder ($175M/30%)

- Other- Includes indirect cost recoveries and sales and services cover the rest ($20M/3%)
FY 2018 Unavoidable Costs & Highest Priority Needs
## History of Budget Cuts

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>One-Time</th>
<th>Permanent</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>2015</td>
<td>$5.4M</td>
<td>$</td>
<td>$5.4M</td>
</tr>
<tr>
<td>2016</td>
<td>-</td>
<td>7.9M</td>
<td>7.9M</td>
</tr>
<tr>
<td>2017</td>
<td>3.2M</td>
<td>3.0M</td>
<td>6.2M</td>
</tr>
<tr>
<td>2018</td>
<td>1.8M</td>
<td>6.0M</td>
<td>7.8M</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$10.4M</strong></td>
<td><strong>$16.9M</strong></td>
<td><strong>$27.3M</strong></td>
</tr>
</tbody>
</table>

Budget reductions/reallocations are netted with increased operating funds from the State.
VCU has been dependent upon term and adjunct faculty to a far greater extent than its peers...

### Faculty Distribution by Institution & Type
**Fall 2015**

<table>
<thead>
<tr>
<th>Institution</th>
<th>T/TT</th>
<th>Term</th>
<th>Adjunct</th>
<th>GTAs</th>
</tr>
</thead>
<tbody>
<tr>
<td>CWM</td>
<td>65%</td>
<td>19%</td>
<td>6%</td>
<td>10%</td>
</tr>
<tr>
<td>VT</td>
<td>62%</td>
<td>14%</td>
<td>3%</td>
<td>21%</td>
</tr>
<tr>
<td>UVA</td>
<td>57%</td>
<td>30%</td>
<td>2%</td>
<td>11%</td>
</tr>
<tr>
<td>GMU</td>
<td>47%</td>
<td>19%</td>
<td>20%</td>
<td>13%</td>
</tr>
<tr>
<td>ODU</td>
<td>51%</td>
<td>21%</td>
<td>15%</td>
<td>12%</td>
</tr>
<tr>
<td>VCU</td>
<td>35%</td>
<td>43%</td>
<td>11%</td>
<td>11%</td>
</tr>
</tbody>
</table>

---

1. Adjunct faculty FTE counts reflect 3:1 estimate for headcount to FTE conversion.
   Both Adjunct faculty and GTAs are converted from headcount to FTE using 3:1 conversation factor.
   Source: NCES, IPEDS Data Center, Institutional Data, Human Resources reports for Fall 2015.
Reduced state support has made VCU increasingly dependent upon tuition & fees

**Educational & General Revenues**

Shift in State and Student Share

*FY 2001 to FY 2017*

- **FY 2001**
  - State Support: 31%
  - Tuition & Fees: 64%
  - Other: 5%

- **FY 2017**
  - State Support: 30%
  - Tuition & Fees: 67%
  - Other: 3%

**Tuition & Fee Profile**

Virginia Research Universities

*FY2014 v. FY2017*

<table>
<thead>
<tr>
<th>Institution</th>
<th>2013-2014</th>
<th>2016-2017</th>
<th>% Increase</th>
</tr>
</thead>
<tbody>
<tr>
<td>CWM</td>
<td>$15,463</td>
<td>$21,234</td>
<td>37.3%</td>
</tr>
<tr>
<td>UVA</td>
<td>$12,458</td>
<td>$15,714</td>
<td>26.1%</td>
</tr>
<tr>
<td>VCU</td>
<td>$12,202</td>
<td>$13,130</td>
<td>7.6%</td>
</tr>
<tr>
<td>VT</td>
<td>$11,455</td>
<td>$12,852</td>
<td>12.2%</td>
</tr>
<tr>
<td>GMU</td>
<td>$9,908</td>
<td>$11,300</td>
<td>14.0%</td>
</tr>
<tr>
<td>ODU</td>
<td>$8,820</td>
<td>$10,046</td>
<td>13.9%</td>
</tr>
</tbody>
</table>

1 Includes tuition and mandatory fees, for in-state full-time students.
## FY 2018 Unavoidable Costs & Highest Priority Needs

### Requests for additional permanent funding

**Unavoidable Costs**
- **Operational Costs** *(Contractual Cost Increases, O&M, fringe rate)* &nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&nbsp;&n...
**FY 2018 Education & General Funding Sources**

<table>
<thead>
<tr>
<th>Current known additional funding sources</th>
<th>FY 2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Enrollment/Model Changes</td>
<td>$ 4,225,150</td>
</tr>
<tr>
<td>Utilities Savings</td>
<td>1,085,300</td>
</tr>
<tr>
<td>University Central Fund Adjustment</td>
<td>1,959,900</td>
</tr>
<tr>
<td>State Planned Increase for Equity &amp; Access</td>
<td>2,004,259</td>
</tr>
<tr>
<td>VCU Budgeted Funds for FY 2017 Salary Increase</td>
<td>3,303,700</td>
</tr>
<tr>
<td>State Funding for 2% Faculty Merit Increase</td>
<td>2,099,109</td>
</tr>
<tr>
<td>State Funding for 3% Classified Merit Increase (estimated)</td>
<td>1,898,222</td>
</tr>
<tr>
<td><strong>Tuition &amp; Fees (FY18 growth &amp; rate change)</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Total known additional funding sources</strong></td>
<td><strong>16,575,640</strong></td>
</tr>
<tr>
<td>Preliminary Funding Gap- Before Final State Actions*</td>
<td>$(11,036,178)</td>
</tr>
</tbody>
</table>

*Note the above does not include FY 2018 E&G budget cuts of $8.0M

- The General Assembly budget also included partial funding for a 2% merit increase for faculty with a provision for institutions to increase that amount using Non-General Funds.
- A 3% merit increase for classified staff was also included. Funding from General Funds is still to be determined, however, based on past practice, VCU is assuming State support equal to 50%.
## FY 2018 State Budget Reductions

### Impact of State Actions - General Assembly Conference Report

<table>
<thead>
<tr>
<th></th>
<th>FY 2018</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total State Reduction</strong></td>
<td>$11,108,342</td>
</tr>
<tr>
<td>University E&amp;G</td>
<td>8,018,515</td>
</tr>
<tr>
<td>E&amp;G funding to VRS (one time reduction)</td>
<td>1,801,693</td>
</tr>
<tr>
<td>Other Funds to VRS (one time reduction)</td>
<td>338,939</td>
</tr>
<tr>
<td><strong>subtotal reduction</strong></td>
<td><strong>10,159,146</strong></td>
</tr>
<tr>
<td>Credit card income loss of rebate</td>
<td>200,000</td>
</tr>
<tr>
<td>Tuition &amp; Fees interest income loss</td>
<td>749,196</td>
</tr>
<tr>
<td><strong>Total State Reduction</strong></td>
<td><strong>11,108,342</strong></td>
</tr>
</tbody>
</table>

### Impact on University

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>University E&amp;G permanent reduction</td>
<td>8,018,515</td>
</tr>
<tr>
<td>State Budget supporting E&amp;G*</td>
<td>170,984,963</td>
</tr>
<tr>
<td>Percent reduction General Fund support*</td>
<td>4.7%</td>
</tr>
<tr>
<td>University E&amp;G budget*</td>
<td>580,467,053</td>
</tr>
<tr>
<td>Percent reduction of University E&amp;G*</td>
<td>1.4%</td>
</tr>
</tbody>
</table>

*Excludes financial aid, VCUQ and funding for items restricted by state (e.g., Massey funding) and VRS monies on other funds
Initiatives Not Funded in FY 2018

- Advising: $1.5M
  - Advising will continue to remain "reactionary" versus pro-active

- Faculty Recruitment & Competitive Pay $2.8M
  - Invest in the Institute for Inclusion, Inquiry and Innovation that focuses on challenges in urban communities, becoming a national model for diversity, inclusion and educational excellence (iCubed)
  - Competitive faculty salary levels which are losing ground to other institutions

- Instructional space/faculty offices: $2.2M
  - Deferred Maintenance backlog will continue to grow

- Financial Aid: 1.3M
  - Low numbers of graduate assistantships, and low stipends for doctoral students

Total: $7.8M
Future Revenue Opportunities

- Fundraising for Scholarships and Fellowships
- Summer Session
- Intersession
- Enhance Online Education
- Increase Out of State Students
Tuition & Fee Recommendations
## Student Fee Recommendations

### Mandatory Fee Recommendations

<table>
<thead>
<tr>
<th>Mandatory Fees</th>
<th>2015-16</th>
<th>2016-17</th>
<th>2017-18 (Proposed)</th>
<th>$ Increase</th>
<th>% Increase</th>
</tr>
</thead>
<tbody>
<tr>
<td>University Fee</td>
<td>$1,757</td>
<td>$1,845</td>
<td>$1,845</td>
<td>$0</td>
<td>0.0%</td>
</tr>
<tr>
<td>Technology Fee</td>
<td>83</td>
<td>83</td>
<td>83</td>
<td>0</td>
<td>0.0%</td>
</tr>
<tr>
<td>Library Fee</td>
<td>50</td>
<td>60</td>
<td>60</td>
<td>0</td>
<td>0.0%</td>
</tr>
<tr>
<td>Health Service Fee</td>
<td>206</td>
<td>206</td>
<td>206</td>
<td>0</td>
<td>0.0%</td>
</tr>
<tr>
<td>Student Activity Fee</td>
<td>90</td>
<td>90</td>
<td>90</td>
<td>0</td>
<td>0.0%</td>
</tr>
<tr>
<td><strong>Total Mandatory Fees - Resident</strong></td>
<td><strong>$2,186</strong></td>
<td><strong>$2,284</strong></td>
<td><strong>$2,284</strong></td>
<td><strong>$0</strong></td>
<td><strong>0.0%</strong></td>
</tr>
<tr>
<td>Capital Outlay Fee</td>
<td>625</td>
<td>625</td>
<td>660</td>
<td>35</td>
<td>5.6%</td>
</tr>
<tr>
<td><strong>Total Mandatory Fees - Nonresident</strong></td>
<td><strong>$2,811</strong></td>
<td><strong>$2,909</strong></td>
<td><strong>$2,944</strong></td>
<td><strong>$35</strong></td>
<td><strong>1.2%</strong></td>
</tr>
</tbody>
</table>
### FY 2018 Overview

**Virginia Commonwealth University**  
**FY 2018 Budget Development Overview**  
*(in thousands)*

<table>
<thead>
<tr>
<th>Tuition &amp; Mandatory Fee % Increase - Per Academic Year (Resident)</th>
<th>2.4%</th>
<th>2.9%</th>
<th>3.3%</th>
<th>3.8%</th>
<th>4.2%</th>
<th>4.6%</th>
<th>5.3%</th>
</tr>
</thead>
</table>

**Proposed FY 2018 Tuition Increase**

<table>
<thead>
<tr>
<th>FY 2018 Proposed Tuition Rate Increase</th>
<th>$10,670</th>
<th>$12,182</th>
<th>$13,694</th>
<th>$15,207</th>
<th>$16,719</th>
<th>$18,231</th>
<th>$19,744</th>
</tr>
</thead>
</table>

**Proposed FY 2018 Projected Expenses**

<table>
<thead>
<tr>
<th>Preliminary Funding Gap</th>
<th>11,036</th>
<th>11,036</th>
<th>11,036</th>
<th>11,036</th>
<th>11,036</th>
<th>11,036</th>
<th>11,036</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposed FY 2018 Budget Reductions</td>
<td>8,019</td>
<td>8,019</td>
<td>8,019</td>
<td>8,019</td>
<td>8,019</td>
<td>8,019</td>
<td>8,019</td>
</tr>
<tr>
<td>Total Funding Gap</td>
<td>19,055</td>
<td>19,055</td>
<td>19,055</td>
<td>19,055</td>
<td>19,055</td>
<td>19,055</td>
<td>19,055</td>
</tr>
</tbody>
</table>

**Budget Cuts**

<table>
<thead>
<tr>
<th>$ (8,385)</th>
<th>$ (6,873)</th>
<th>$ (5,361)</th>
<th>$ (3,848)</th>
<th>$ (2,336)</th>
<th>$ (824)</th>
<th>$ 689</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Tuition &amp; Mandatory Fee $ Increase - Per Academic Year (Resident)</th>
<th>$320</th>
<th>$378</th>
<th>$436</th>
<th>$494</th>
<th>$552</th>
<th>$610</th>
<th>$696</th>
</tr>
</thead>
</table>
### FY 2018 Proposed Tuition Options - Resident

<table>
<thead>
<tr>
<th>Resident</th>
<th>Tuition and Mandatory Fee % Increase - Per Academic Year</th>
<th>2.4%</th>
<th>2.9%</th>
<th>3.3%</th>
<th>3.8%</th>
<th>4.2%</th>
<th>4.6%</th>
<th>5.3%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposed FY 2018 Tuition Increase</td>
<td></td>
<td>3.0%</td>
<td>3.5%</td>
<td>4.0%</td>
<td>4.5%</td>
<td>5.0%</td>
<td>5.5%</td>
<td>6.0%</td>
</tr>
<tr>
<td>Tuition-15 Credit Hour</td>
<td></td>
<td>$11,166</td>
<td>$11,224</td>
<td>$11,282</td>
<td>$11,340</td>
<td>$11,398</td>
<td>$11,456</td>
<td>$11,542</td>
</tr>
<tr>
<td>Mandatory Fees (1)</td>
<td></td>
<td>2,284</td>
<td>2,284</td>
<td>2,284</td>
<td>2,284</td>
<td>2,284</td>
<td>2,284</td>
<td>2,284</td>
</tr>
<tr>
<td>FY 2018 Tuition &amp; Fees</td>
<td></td>
<td>13,450</td>
<td>13,508</td>
<td>13,566</td>
<td>13,624</td>
<td>13,682</td>
<td>13,740</td>
<td>13,826</td>
</tr>
</tbody>
</table>

### FY 2017 Tuition and Fees

| FY 2017 Tuition and Fees | | 10,846 | 10,846 | 10,846 | 10,846 | 10,846 | 10,846 | 10,846 |
| Tuition-15 Credit Hour | | 2,284 | 2,284 | 2,284 | 2,284 | 2,284 | 2,284 | 2,284 |
| Mandatory Fees (1) | | 13,130 | 13,130 | 13,130 | 13,130 | 13,130 | 13,130 | 13,130 |

Tuition and Mandatory Fee $ Increase - Per Academic Year

| $ | 320 | 378 | 436 | 494 | 552 | 610 | 696 |

---

1 Does not include Room and Board
# FY 2018 Proposed Tuition Options - Nonresident

<table>
<thead>
<tr>
<th>Nonresident</th>
<th>Tuition and Mandatory Fee % Increase - Per Academic Year</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2.8% 3.2% 3.8% 4.2% 4.7% 5.1% 5.6%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Proposed FY 2018 Tuition Increase</th>
<th>3.0% 3.5% 4.0% 4.5% 5.0% 5.5% 6.0%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tuition-15 Credit Hour</td>
<td>$30,248 $30,392 $30,566 $30,712 $30,856 $31,002 $31,146</td>
</tr>
<tr>
<td>Mandatory Fees *Includes Capital Outlay Fee $660 (1)</td>
<td>2,944 2,944 2,944 2,944 2,944 2,944 2,944</td>
</tr>
<tr>
<td>FY 2018 Tuition &amp; Fees</td>
<td>33,192 33,336 33,510 33,656 33,800 33,946 34,090</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Tuition-15 Credit Hour</td>
<td>$2,909 $2,909 $2,909 $2,909 $2,909 $2,909 $2,909</td>
</tr>
<tr>
<td>Mandatory Fees *Includes Capital Outlay Fee $625 (1)</td>
<td>2,909 2,909 2,909 2,909 2,909 2,909 2,909</td>
</tr>
<tr>
<td>FY 2017 Tuition &amp; Fees</td>
<td>32,287 32,287 32,287 32,287 32,287 32,287 32,287</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Tuition and Mandatory Fee $ Increase - Per Academic Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>$905 $1,049 $1,223 $1,369 $1,513 $1,659 $1,803</td>
</tr>
</tbody>
</table>

*Capital Outlay Fee: $35.00 increase to meet State transfer requirements

1 Does not include Room and Board
Student Fee Recommendations

Non Mandatory Fee Recommendations

• Housing Rates: Overall proposed housing rates reflect a 1.4% campus wide weighted average increase.

• Dining Rates: FY 2018 proposed dining rates reflect an average increase of 2%. This increase is due to the ARAMARK contract increase.

• Parking Rates: Parking increases recommended campus wide average 3% for faculty and students as aligned with the Parking & Transportation 5 year Financial Plan.
## Rates Increases Recommended for First Professionals

<table>
<thead>
<tr>
<th>First Professionals</th>
<th>2015-16</th>
<th>2016-17</th>
<th>2017-18 (Proposed)</th>
<th>$ Increase</th>
<th>% Increase</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Medicine</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Resident</td>
<td>$29,586</td>
<td>$29,793</td>
<td>$30,299</td>
<td>$506</td>
<td>1.7%</td>
</tr>
<tr>
<td>Nonresident</td>
<td>46,666</td>
<td>46,993</td>
<td>48,873</td>
<td>1,880</td>
<td>4.0%</td>
</tr>
<tr>
<td><strong>Dentistry</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Resident</td>
<td>33,611</td>
<td>34,955</td>
<td>37,401</td>
<td>2,446</td>
<td>7.0%</td>
</tr>
<tr>
<td>Nonresident</td>
<td>59,225</td>
<td>61,594</td>
<td>65,905</td>
<td>4,311</td>
<td>7.0%</td>
</tr>
<tr>
<td><strong>Pharmacy</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Resident</td>
<td>25,081</td>
<td>25,832</td>
<td>26,478</td>
<td>646</td>
<td>2.5%</td>
</tr>
<tr>
<td>Nonresident</td>
<td>36,146</td>
<td>37,226</td>
<td>38,157</td>
<td>931</td>
<td>2.5%</td>
</tr>
</tbody>
</table>
Next Steps on FY 2018 Budget Plan

April 7-14, 2017 Follow-up questions and discussion from April 6 Budget Workshop

May 5, 2017 Proposed FY 2018 Tuition & Fees and University Budget Plan materials distributed to Board

May 12, 2017 Board takes formal action on Proposed Tuition & Fees and University Budget Plan
Questions
Supplemental Materials
Enrollment Management, Student Success
Fall Headcount and FTE Enrollments

(Including Nondegree-Seekers)

Source: VCU Reporting Center, Insights, Fall Enrollment Headcount / FTE for All Students; Office of Planning & Decision Support. Prepared by Division of Strategic Enrollment Management
Fall 2016 Undergraduate Students By Residency

[Bar chart showing the percentage of in-state and out-of-state students for various universities.]

Note: Tier III schools in black and gold
Source: SCHEV Research E19 Report
Graduation Rates for Underrepresented Minorities

Undergraduate, degree seeking by cohort

Note: Pacific Islander students were included with the non-underrepresented minorities category through 2009. Federal reporting for race and ethnicity changed in 2010. Comparisons to prior years may not be meaningful.

Source: Office of Planning & Decision Support, UG Retention & Graduation Matrix by Cohort, Race and Gender. Prepared by Division of Strategic Enrollment Management
Continuing Students Taking 15+ Credits

By Classification

<table>
<thead>
<tr>
<th>Year</th>
<th>Sophomore</th>
<th>Junior</th>
<th>Senior</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fall 2011</td>
<td>54%</td>
<td>57%</td>
<td>53%</td>
</tr>
<tr>
<td>Fall 2012</td>
<td>58%</td>
<td>57%</td>
<td>55%</td>
</tr>
<tr>
<td>Fall 2013</td>
<td>63%</td>
<td>60%</td>
<td>59%</td>
</tr>
<tr>
<td>Fall 2014</td>
<td>60%</td>
<td>59%</td>
<td>59%</td>
</tr>
<tr>
<td>Fall 2015</td>
<td>59%</td>
<td>60%</td>
<td>57%</td>
</tr>
<tr>
<td>Fall 2016</td>
<td>60%</td>
<td>59%</td>
<td>53%</td>
</tr>
</tbody>
</table>

Fall 2013 was the first semester of the per-credit-hour tuition model.

Source: VCU’s Operational Data Store. Prepared by Division of Strategic Enrollment Management.
Budget Overview: Educational & General Funds, Tuition & Fees
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Total 12-month FTE</td>
<td>27,662</td>
<td>16,538</td>
<td>39,157</td>
<td>26,794</td>
<td>54,024</td>
<td>28,352</td>
<td>32,212</td>
<td>18,395</td>
<td>33,290</td>
<td>36,508</td>
</tr>
<tr>
<td>Total core expenses per FTE, excluding research and public service</td>
<td>$22,225</td>
<td>$39,727</td>
<td>$17,513</td>
<td>$29,845</td>
<td>$29,276</td>
<td>$40,821</td>
<td>$20,378</td>
<td>$30,201</td>
<td>$17,870</td>
<td>$18,769</td>
</tr>
<tr>
<td>Instruction</td>
<td>13,870</td>
<td>17,548</td>
<td>10,018</td>
<td>18,096</td>
<td>13,561</td>
<td>26,783</td>
<td>10,378</td>
<td>15,707</td>
<td>10,828</td>
<td>9,275</td>
</tr>
<tr>
<td>Academic Support</td>
<td>3,302</td>
<td>10,542</td>
<td>2,133</td>
<td>4,604</td>
<td>7,742</td>
<td>6,962</td>
<td>3,763</td>
<td>7,160</td>
<td>2,923</td>
<td>5,144</td>
</tr>
<tr>
<td>Inst. Support</td>
<td>2,947</td>
<td>8,172</td>
<td>1,733</td>
<td>4,456</td>
<td>4,999</td>
<td>2,119</td>
<td>3,317</td>
<td>3,729</td>
<td>1,959</td>
<td>2,492</td>
</tr>
<tr>
<td>Student Services</td>
<td>1,018</td>
<td>2,188</td>
<td>1,331</td>
<td>1,432</td>
<td>2,208</td>
<td>2,248</td>
<td>2,044</td>
<td>1,878</td>
<td>1,780</td>
<td>1,134</td>
</tr>
<tr>
<td>Other Core Svcs</td>
<td>1,088</td>
<td>1,277</td>
<td>2,298</td>
<td>1,257</td>
<td>766</td>
<td>2,709</td>
<td>876</td>
<td>1,727</td>
<td>380</td>
<td>2,970</td>
</tr>
<tr>
<td>Total tuition and fees and state support per FTE</td>
<td>$18,672</td>
<td>$26,304</td>
<td>$15,660</td>
<td>$24,819</td>
<td>$19,404</td>
<td>$18,637</td>
<td>$19,058</td>
<td>$14,994</td>
<td>$15,283</td>
<td>$19,573</td>
</tr>
<tr>
<td>State Appropriations</td>
<td>7,364</td>
<td>16,041</td>
<td>9,227</td>
<td>15,417</td>
<td>10,473</td>
<td>7,323</td>
<td>5,650</td>
<td>7,651</td>
<td>3,525</td>
<td>8,614</td>
</tr>
<tr>
<td>Tuition and Fees</td>
<td>11,308</td>
<td>10,263</td>
<td>6,433</td>
<td>9,402</td>
<td>11,523</td>
<td>12,081</td>
<td>12,987</td>
<td>11,407</td>
<td>11,469</td>
<td>10,248</td>
</tr>
</tbody>
</table>
### FY 2015 IPEDS Institutional Profiles

#### VCU vs. Tier III Peers

<table>
<thead>
<tr>
<th></th>
<th>VCU</th>
<th>College of William and Mary</th>
<th>UVA</th>
<th>VT</th>
<th>Average of Peers</th>
<th>Median of Peers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total 12-month FTE</td>
<td>27,662</td>
<td>8,332</td>
<td>24,142</td>
<td>31,841</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total core expenses per FTE, excluding research and public service</td>
<td>$22,225</td>
<td>$29,331</td>
<td>$35,965</td>
<td>$17,885</td>
<td>$27,727</td>
<td>$29,331</td>
</tr>
<tr>
<td>Instruction</td>
<td>13,870</td>
<td>13,943</td>
<td>18,233</td>
<td>11,792</td>
<td>14,656</td>
<td>13,943</td>
</tr>
<tr>
<td>Academic Support</td>
<td>3,302</td>
<td>4,829</td>
<td>7,624</td>
<td>2,991</td>
<td>5,148</td>
<td>4,829</td>
</tr>
<tr>
<td>Inst. Support</td>
<td>2,947</td>
<td>4,441</td>
<td>4,818</td>
<td>2,106</td>
<td>3,788</td>
<td>4,441</td>
</tr>
<tr>
<td>Student Services</td>
<td>1,018</td>
<td>1,846</td>
<td>2,429</td>
<td>541</td>
<td>1,605</td>
<td>1,846</td>
</tr>
<tr>
<td>Other Core Svcs</td>
<td>1,088</td>
<td>4,272</td>
<td>2,861</td>
<td>455</td>
<td>2,529</td>
<td>2,861</td>
</tr>
<tr>
<td>Total tuition and fees and state support per FTE</td>
<td>$18,672</td>
<td>$26,279</td>
<td>$25,522</td>
<td>$20,540</td>
<td>$24,114</td>
<td>$25,522</td>
</tr>
<tr>
<td>State Support</td>
<td>7,364</td>
<td>7,559</td>
<td>5,663</td>
<td>7,626</td>
<td>6,949</td>
<td>7,559</td>
</tr>
<tr>
<td>Tuition and Fees</td>
<td>11,308</td>
<td>18,720</td>
<td>19,859</td>
<td>12,914</td>
<td>17,164</td>
<td>18,720</td>
</tr>
</tbody>
</table>
FY 2018 Unavoidable Costs & Highest Priority Needs
## FY 2018 Unavoidable Costs

### Operational Costs

<table>
<thead>
<tr>
<th>Cost Description</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Central Rent</td>
<td>$254,000</td>
</tr>
<tr>
<td>Facilities Unavoidable Contract Cost Increases</td>
<td>225,700</td>
</tr>
<tr>
<td>Shuttle-Groome Contract Escalation</td>
<td>17,100</td>
</tr>
<tr>
<td>IT Maintenance Contracts</td>
<td>227,200</td>
</tr>
<tr>
<td>Police - Contracted Post Security</td>
<td>33,400</td>
</tr>
<tr>
<td>Library Journal Subscriptions</td>
<td>508,000</td>
</tr>
<tr>
<td>O&amp;M For New Facilities</td>
<td>525,400</td>
</tr>
<tr>
<td>Estimated Fringe Change</td>
<td>3,500,000</td>
</tr>
<tr>
<td><strong>Total Operational Costs</strong></td>
<td><strong>5,290,800</strong></td>
</tr>
</tbody>
</table>

### Academic Costs

<table>
<thead>
<tr>
<th>Cost Description</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty Promotions</td>
<td>1,160,100</td>
</tr>
<tr>
<td>Engineering Startup Faculty Lines</td>
<td>1,874,700</td>
</tr>
<tr>
<td><strong>Total Academic Costs</strong></td>
<td><strong>3,034,800</strong></td>
</tr>
</tbody>
</table>

**Total Operational & Academic Costs** $8,325,600
## FY 2018 Highest Priority Needs (To Date)

<table>
<thead>
<tr>
<th>Highest Priority Needs</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Merit Based Financial Aid</td>
<td></td>
</tr>
<tr>
<td>Virginia Merit Award Scholarship-3rd cohort</td>
<td>$ 1,811,500</td>
</tr>
<tr>
<td>Last Cohort Quest VA Presidential Scholarship</td>
<td>255,500</td>
</tr>
<tr>
<td><strong>Total Merit Based Financial Aid</strong></td>
<td><strong>2,067,000</strong></td>
</tr>
<tr>
<td>Need Based Financial Aid</td>
<td>3,000,000</td>
</tr>
<tr>
<td>College of Humanities &amp; Science Staffing</td>
<td>1,029,000</td>
</tr>
<tr>
<td>Salary Increase at 3% Annualized</td>
<td></td>
</tr>
<tr>
<td>Teaching &amp; Research (T&amp;R) &amp; Administrative &amp; Professional (A&amp;P)</td>
<td>8,393,773</td>
</tr>
<tr>
<td>Classified</td>
<td>3,796,445</td>
</tr>
<tr>
<td>Deferred Maintenance</td>
<td>1,000,000</td>
</tr>
<tr>
<td><strong>Subtotal Highest Priority Needs</strong></td>
<td><strong>19,286,218</strong></td>
</tr>
</tbody>
</table>

| FY2018 Unavoidable Costs & Highest Priority Needs          | $ 27,611,818  |
Tuition & Fee Recommendations
# Student Housing Rates

<table>
<thead>
<tr>
<th>Campus</th>
<th>2016-17 Room Rate</th>
<th>2017-18 Room Rate</th>
<th>Increase from 2016-17</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>MCV Campus:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><em>Cabaniss</em></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Double</td>
<td>$5,699.00</td>
<td>$5,799.00</td>
<td>$100.00 1.8%</td>
</tr>
<tr>
<td><strong>Monroe Park Campus:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><em>Rhoads</em></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Triple (3 occupants)</td>
<td>$5,499.00</td>
<td>$5,599.00</td>
<td>$100.00 1.8%</td>
</tr>
<tr>
<td>Double</td>
<td>$5,999.00</td>
<td>$6,199.00</td>
<td>$200.00 3.3%</td>
</tr>
<tr>
<td><em>Johnson Hall</em></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Triple (3 occupants)</td>
<td>$5,499.00</td>
<td>$5,599.00</td>
<td>$100.00 1.8%</td>
</tr>
<tr>
<td>Double</td>
<td>$5,999.00</td>
<td>$6,199.00</td>
<td>$200.00 3.3%</td>
</tr>
<tr>
<td>Single-Small</td>
<td>$6,599.00</td>
<td>$6,699.00</td>
<td>$100.00 1.5%</td>
</tr>
<tr>
<td><strong>Gladding, Phase III</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Double</td>
<td>$6,444.00</td>
<td>$7,209.00</td>
<td>$765.00 11.9%</td>
</tr>
<tr>
<td>Single (2 bedroom)</td>
<td>$7,425.00</td>
<td>$7,555.00</td>
<td>$130.00 1.8%</td>
</tr>
<tr>
<td>Single (4 bedroom)</td>
<td>$7,155.00</td>
<td>$7,555.00</td>
<td>$400.00 5.6%</td>
</tr>
<tr>
<td><strong>Brandt Hall</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Double</td>
<td>$7,209.00</td>
<td>$7,209.00</td>
<td>$0.00 0.0%</td>
</tr>
<tr>
<td><strong>Honors College</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$7,983.00</td>
<td>$7,999.00</td>
<td>$16.00 0.2%</td>
</tr>
<tr>
<td><strong>Cary &amp; Belvidere Apartments (9 month)</strong></td>
<td>$8,650.00</td>
<td>$8,650.00</td>
<td>$0.00 0.0%</td>
</tr>
<tr>
<td>Single (2 bedroom)</td>
<td>$8,650.00</td>
<td>$8,650.00</td>
<td>$0.00 0.0%</td>
</tr>
<tr>
<td>Single (4 bedroom)</td>
<td>$7,809.00</td>
<td>$7,809.00</td>
<td>$0.00 0.0%</td>
</tr>
</tbody>
</table>

(1) Rate adjustments reflect strategic adjustments based upon several factors, including: similar pricing for same amenities and style of facility, maintaining competitive pricing with off-campus local private developments, and an overall commitment to providing affordable housing for students to retain residency on-campus from first-year to second-year.

(2) Many historically twelve month contracted facilities have rooms that have been converted to nine month contracts. This is due to ensuring there are the appropriate amount of beds for incoming freshmen students (due to the closing of Gladding Residence Center which was a nine month facility for incoming freshmen students). Thus there are numerous new or first time rates.
Student Housing Rates (cont.)

<table>
<thead>
<tr>
<th>Residence Center</th>
<th>Room Type</th>
<th>2016-17 Room Rate</th>
<th>2017-18 Room Rate</th>
<th>Increase from 2016-17</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>West Grace Street South Apartments (9 month)</strong></td>
<td>Double (2 bedroom)</td>
<td>$7,209.00</td>
<td>$7,209.00</td>
<td>$0.00 (0.0%)</td>
</tr>
<tr>
<td><strong>Ackell Residence Center (9 month)</strong></td>
<td>Four Bedroom Single</td>
<td>$7,809.00</td>
<td>$7,809.00</td>
<td>$0.00 (0.0%)</td>
</tr>
<tr>
<td><strong>Grace &amp; Broad Street Apartments (9 month)</strong></td>
<td>Single (4 bedroom)</td>
<td>$7,809.00</td>
<td>$7,809.00</td>
<td>$0.00 (0.0%)</td>
</tr>
<tr>
<td><strong>Ackell Residence Center (12 month)</strong></td>
<td>Two Bedroom Single</td>
<td>$9,168.00</td>
<td>$9,273.00</td>
<td>$105.00 (1.1%)</td>
</tr>
<tr>
<td></td>
<td>Four Bedroom Single</td>
<td>$7,704.00</td>
<td>$7,809.00</td>
<td>$105.00 (1.4%)</td>
</tr>
<tr>
<td><strong>West Grace Street South Apartments (12 month)</strong></td>
<td>Single (4 bedroom)</td>
<td>$7,704.00</td>
<td>$7,809.00</td>
<td>$105.00 (1.4%)</td>
</tr>
<tr>
<td></td>
<td>Double (2 bedroom)</td>
<td>$7,140.00</td>
<td>$7,209.00</td>
<td>$69.00 (1.0%)</td>
</tr>
</tbody>
</table>

(1) Rate adjustments reflect strategic adjustments based upon several factors, including: similar pricing for same amenities and style of facility, maintaining competitive pricing with off-campus local private developments, and an overall commitment to providing affordable housing for students to retain residency on-campus from first-year to second-year.

(2) Many historically twelve month contracted facilities have rooms that have been converted to nine month contracts. This is due to ensuring there are the appropriate amount of beds for incoming freshmen students (due to the closing of Gladding Residence Center which was a nine month facility for incoming freshmen students). Thus there are numerous new or first time rates.
Student Housing Rates (cont.)

<table>
<thead>
<tr>
<th>Room Rate</th>
<th>2016-17</th>
<th>2017-18</th>
<th>Increase from</th>
</tr>
</thead>
<tbody>
<tr>
<td>West Grace Street North Apartments (12 month)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Single (Efficiency)</td>
<td>$10,260.00</td>
<td>$10,365.00</td>
<td>$105.00</td>
</tr>
<tr>
<td>Single (1 bedroom)</td>
<td>$10,260.00</td>
<td>$10,365.00</td>
<td>$105.00</td>
</tr>
<tr>
<td>Single (2 bedroom)</td>
<td>$9,168.00</td>
<td>$9,273.00</td>
<td>$105.00</td>
</tr>
<tr>
<td>Single (4 bedroom)</td>
<td>$7,704.00</td>
<td>$7,809.00</td>
<td>$105.00</td>
</tr>
<tr>
<td>Double (2 bedroom)</td>
<td>$7,140.00</td>
<td>$7,209.00</td>
<td>$69.00</td>
</tr>
<tr>
<td>Grace &amp; Broad Street Apartments (12 month)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Single (4 bedroom)</td>
<td>$7,704.00</td>
<td>$7,809.00</td>
<td>$105.00</td>
</tr>
</tbody>
</table>

Other Housing Rates (RES Foundation Owned Residence Hall)

<table>
<thead>
<tr>
<th>Room Rate</th>
<th>2016-17</th>
<th>2017-18</th>
<th>Increase from</th>
</tr>
</thead>
<tbody>
<tr>
<td>Broad &amp; Belvidere Apartments (12 month)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Single (1 bedroom)</td>
<td>$10,260.00</td>
<td>$10,365.00</td>
<td>$105.00</td>
</tr>
<tr>
<td>Single (2 bedroom)</td>
<td>$9,168.00</td>
<td>$9,273.00</td>
<td>$105.00</td>
</tr>
<tr>
<td>Single (3 bedroom)</td>
<td>$8,520.00</td>
<td>$8,625.00</td>
<td>$105.00</td>
</tr>
<tr>
<td>Single (4 bedroom)</td>
<td>$8,100.00</td>
<td>$8,205.00</td>
<td>$105.00</td>
</tr>
</tbody>
</table>

(1) Rate adjustments reflect strategic adjustments based upon several factors, including: similar pricing for same amenities and style of facility, maintaining competitive pricing with off-campus local private developments, and an overall commitment to providing affordable housing for students to retain residency on-campus from first-year to second-year.
Dining Plan Rates Per Semester

<table>
<thead>
<tr>
<th>Rate Plan Description</th>
<th>2015-16</th>
<th>2016-17</th>
<th>2017-18 Rate Increases</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Rates</td>
<td>Rates</td>
<td>$ Chg.</td>
</tr>
<tr>
<td>300 Swipes w/ $100 per semester (1)</td>
<td>$2,140.00</td>
<td>$2,200.00</td>
<td>$2,242.00</td>
</tr>
<tr>
<td>250 Swipes w/ $300 per semester (1)</td>
<td>$2,080.00</td>
<td>$2,135.00</td>
<td>$2,175.00</td>
</tr>
<tr>
<td>250 Swipes w/ $175 per semester (1)</td>
<td>$1,955.00</td>
<td>$2,010.00</td>
<td>$2,050.00</td>
</tr>
<tr>
<td>200 Swipes w/ $300 per semester (1)</td>
<td>$1,910.00</td>
<td>$1,960.00</td>
<td>$1,994.00</td>
</tr>
<tr>
<td>200 Swipes w/ $150 per semester (1)</td>
<td>$1,760.00</td>
<td>$1,810.00</td>
<td>$1,844.00</td>
</tr>
<tr>
<td>150 Swipes w/ $105 per semester</td>
<td>$1,320.00</td>
<td>$1,365.00</td>
<td>$1,392.00</td>
</tr>
<tr>
<td>140 Swipes w/ $300 per semester (RA's Only)</td>
<td>$1,336.00</td>
<td>$1,385.00</td>
<td>$1,427.00</td>
</tr>
<tr>
<td>100 Swipes w/ $75 per semester</td>
<td>$895.00</td>
<td>$925.00</td>
<td>$942.00</td>
</tr>
<tr>
<td>50 Meal Plan w/ $75 per semester</td>
<td>$525.00</td>
<td>$540.00</td>
<td>$550.00</td>
</tr>
<tr>
<td>25 Swipes w/ $75 per semester</td>
<td>$315.00</td>
<td>$315.00</td>
<td>$315.00</td>
</tr>
<tr>
<td>5 Swipes w/ $160 per semester</td>
<td>$208.00</td>
<td>$208.00</td>
<td>$208.00</td>
</tr>
</tbody>
</table>

(1) All students residing in University Housing, other than graduate students or VCU apartment residents, are required to purchase a residential dining plan. Residential dining plans are indicated above with a (1).
### Parking Rates Per Semester

<table>
<thead>
<tr>
<th></th>
<th>2015-16</th>
<th>2016-17</th>
<th>$ Chg.</th>
<th>% Chg.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Student Rates Per Semester:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Monroe Park Campus</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Student Commuters</td>
<td>$202.00</td>
<td>$210.00</td>
<td>$8.00</td>
<td>3.95%</td>
</tr>
<tr>
<td>Student Residential - 5 Months</td>
<td>$315.00</td>
<td>$327.50</td>
<td>$12.50</td>
<td>3.97%</td>
</tr>
<tr>
<td>Student Residential - 6 Months</td>
<td>$350.00</td>
<td>$364.00</td>
<td>$14.00</td>
<td>3.94%</td>
</tr>
<tr>
<td><strong>MCV Campus</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Student Commuters - On-Campus Facilities</td>
<td>$202.00</td>
<td>$210.00</td>
<td>$8.00</td>
<td>3.95%</td>
</tr>
<tr>
<td>Student Commuters - Off-campus lots</td>
<td>$160.00</td>
<td>$166.00</td>
<td>$6.00</td>
<td>3.75%</td>
</tr>
<tr>
<td>Student Residential - 5 Months</td>
<td>$315.00</td>
<td>$327.50</td>
<td>$12.50</td>
<td>3.94%</td>
</tr>
<tr>
<td><strong>MCV Campus - Advance Start Program (Note 1)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Student Commuters - On-Campus Facilities</td>
<td>$244.00</td>
<td>$253.50</td>
<td>$9.50</td>
<td>3.88%</td>
</tr>
<tr>
<td>Student Commuters - Off-campus lots</td>
<td>$187.00</td>
<td>$194.50</td>
<td>$7.50</td>
<td>4.06%</td>
</tr>
<tr>
<td>Student Residential</td>
<td>$375.00</td>
<td>$401.50</td>
<td>$26.50</td>
<td>6.91%</td>
</tr>
<tr>
<td><strong>Summer Permit Rates (Note 2)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Monthly</td>
<td>$59.00</td>
<td>$60.00</td>
<td>$1.00</td>
<td>1.69%</td>
</tr>
<tr>
<td>Weekly</td>
<td>$14.25</td>
<td>$15.00</td>
<td>$0.75</td>
<td>5.45%</td>
</tr>
</tbody>
</table>

### Notes:
(1) Advance Start Program Rate has been adjusted to include 2 additional weeks of parking.
(2) Summer permit rates are tailored for individual programs and are based on the weekly/monthly permit rate.
## Parking Rates Per Semester (cont.)

<table>
<thead>
<tr>
<th></th>
<th>2015-16</th>
<th>2016-17</th>
<th>Rates</th>
<th>$ Chg.</th>
<th>% Chg.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Student Rates Per Semester:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Evening Student Permits</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><em>EV Permit - All Facilities - 3:30 pm to 2:00 am</em></td>
<td>$42.00</td>
<td>$43.50</td>
<td>$44.50</td>
<td>$1.00</td>
<td>2.30%</td>
</tr>
<tr>
<td><strong>Daily Rates - All Facilities</strong></td>
<td>$10.00</td>
<td>$10.00</td>
<td>$10.00</td>
<td>$0.00</td>
<td>0.00%</td>
</tr>
<tr>
<td><strong>Hourly Rates</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><em>1 Hour or part thereof</em></td>
<td>$1.00</td>
<td>$1.00</td>
<td>$1.00</td>
<td>$0.00</td>
<td>0.00%</td>
</tr>
<tr>
<td><em>2 Hours or part thereof</em></td>
<td>$2.00</td>
<td>$2.00</td>
<td>$2.00</td>
<td>$0.00</td>
<td>0.00%</td>
</tr>
<tr>
<td><em>3 Hours or part thereof</em></td>
<td>$4.00</td>
<td>$4.00</td>
<td>$4.00</td>
<td>$0.00</td>
<td>0.00%</td>
</tr>
<tr>
<td><em>4 Hours or part thereof</em></td>
<td>$6.00</td>
<td>$6.00</td>
<td>$6.00</td>
<td>$0.00</td>
<td>0.00%</td>
</tr>
<tr>
<td><em>5 Hours or part thereof</em></td>
<td>$8.00</td>
<td>$8.00</td>
<td>$8.00</td>
<td>$0.00</td>
<td>0.00%</td>
</tr>
<tr>
<td><em>6 Hours or part thereof</em></td>
<td>$10.00</td>
<td>$10.00</td>
<td>$10.00</td>
<td>$0.00</td>
<td>0.00%</td>
</tr>
<tr>
<td><strong>Maximum Daily</strong></td>
<td>$10.00</td>
<td>$10.00</td>
<td>$10.00</td>
<td>$0.00</td>
<td>0.00%</td>
</tr>
</tbody>
</table>
April 6, 2017 Joint meeting of the VCU Health System Authority Board of Directors and the VCU Board of Visitors)
JOINT MEETING OF THE VIRGINIA COMMONWEALTH UNIVERSITY HEALTH SYSTEM AUTHORITY BOARD OF DIRECTORS
AND
THE VIRGINIA COMMONWEALTH UNIVERSITY BOARD OF VISITORS
6:30 P.M.
APRIL 6, 2017
RHYTHM HALL
DOMINION ARTS CENTER
600 EAST GRACE STREET
RICHMOND, VIRGINIA

MINUTES

VIRGINIA COMMONWEALTH UNIVERSITY BOARD MEMBERS PRESENT

Mr. John A. Luke, Jr., Rector
Ms. Phoebe P. Hall, Vice Rector
Mr. H. Benson Dendy III
Mr. William M. Ginther
Mr. Keith Parker
Dr. John W. Snow
Ms. Jacquelyn E. Stone
Dr. Shantaram Talegaonker
Mr. Steve L. Worley

VIRGINIA COMMONWEALTH UNIVERSITY HEALTH SYSTEM AUTHORITY BOARD MEMBERS PRESENT

Dr. Arline Bohannon
Honorable Kirk Cox
Mr. Steven DeLuca
Ms. Mary Fox
Mr. William M. Ginther (joint membership)
Ms. Phoebe P. Hall (joint membership)
Ms. Eva Teig Hardy
Ms. Lisa Hicks-Thomas
Mr. John A. Luke, Jr. (joint membership)
Hon. James P. Massie
Dr. Bruce Mathern
Honorable Ryan McDougle
Dr. Michael Rao
Dr. Marsha Rappley
Dr. Susan Roseff
Mr. Stephen Worley (joint membership)
Dr. William Zuelzer
BOARD MEMBERS UNAVAILABLE

Mr. George Emerson
Dr. Robert H. Holsworth
Dr. Gopinath Jadhav
Ms. Colette McEachin
Mr. Ronald McFarland
Mr. Alexander B. McMurtrie, Jr.
Rev. Tyrone E. Nelson
Dr. Carol Shapiro, Secretary
Mr. G. Richard Wagoner, Jr.
Dr. Michelle Whitehurst-Cook

OTHERS PRESENT

Mr. Paul Neimeyer
Ms. Michele N. Schumacher
Ms. Mary Tacconi
Virginia Commonwealth University and Virginia Commonwealth University Health System Authority Staff and Guests

CALL TO ORDER

Mr. John A. Luke, Jr., Rector, and Dr. Michael Rao, Chair, called the meeting to order at 7:08 p.m.

PRESENTATION BY DR. MARSHA RAPPLEY

Dr. Marsha Rappley, provided a presentation entitled Vision by Design, which outlined her vision for the Virginia Commonwealth University Health System Authority.

ADJOURNMENT

With no further business to come before the board, Mr. Luke and Dr. Rao adjourned the meeting at 7:50 p.m.
Plan Development

- Strategic plan modifications and campus-wide presentations
  - Climate study analysis
  - Posted for public comment
- President’s Forum on Social Justice
- Diversity Cafes on both campuses
- Meetings with stakeholder groups
- President’s Action Group on Diversity and Inclusion (PAGDI)
- Division for Inclusive Excellence strategic plan with CIEE
Diversity and Inclusion Strategic Action

All themes, although written as distinct groups, are interrelated. They influence each other and must be worked simultaneously.
Diversity and Inclusion Strategic Action Plan Goals

• **Institutional Commitment**: Dedicate resources, establish intentional and committed initiatives, and act to advance diversity, inclusion and equity at all institutional levels.

• **Climate and Intergroup Relations**: Create and sustain a welcoming climate of inclusion.

• **Recruitment, Retention and Success**: Intentionally attract and retain a diverse faculty, staff and student body. Implement strategies for enhancing recruitment, retention and success.

• **Education, Scholarship and Research**: Provide rich teaching, learning, research, scholarly, creative and service experiences. Support faculty, staff and student research, scholarship and creative expression.
Progress and Assessment

- Establish and track accountability measures for each theme.
- Establish institutional baseline metrics and identify gaps in the measurement of progress.
- Design and deploy periodic diversity climate surveys and focus groups to assess, monitor, and report on progress.
- Assess and report on progress in achieving targets and communicate findings to the broader university community.
Implementation

• Integration
  – University strategic plan development
  – Working @ VCU: “Great Place” HR Policies
  – Health Equity Plan

• Accountability
  – Responsible units
  – Annual reporting
    • Inclusive Learning Council
    • Council on Inclusive Excellence and Equity
Summary of the Diversity and Inclusion Strategic Plan
The University seeks Board of Visitors approval for the Diversity and Inclusion Strategic Action Plan.

Background
The Council for Inclusive Excellence and Equity (CIEE), which includes students, staff and faculty, created the Diversity and Inclusion Strategic Action Plan informed by findings from the 2016 climate surveys, which were distributed to faculty, staff and students; Diversity and Inclusion Cafes; the President’s Forums on Social Justice; and numerous meetings, interviews and correspondence with students, faculty, staff, alumni and other constituent groups.

Purpose
The Diversity and Inclusion Strategic Action Plan demonstrates an active, intentional and ongoing institutional commitment to diversity, inclusion and equity through our community building, our curriculum and co-curriculum, and our engagement with communities beyond the university, which are central to the university’s mission. The framework to measure progress toward VCU’s inclusive excellence ideals has four key themes connected by an assessment process:

- Institutional commitment
  - Provide critically reflective, clear, cohesive and prominent communication to all university stakeholders.
  - Build and sustain infrastructure throughout the University to support teaching, scholarship, creative expression and service.
  - Create and implement a means of measuring, monitoring, and rewarding progress and providing resources.
  - Ensure accountability for the implementation of the Plan at all institutional levels and across all constituencies.

- Campus climate and intergroup relations
  - Create and sustain a climate where all feel welcome and part of a university-wide community.
  - Create and maintain an environment where all feel respected, supported and valued, and have agency and voice.
  - Create and maintain an environment where people of diverse backgrounds share experiences.
  - Ensure that buildings and facilities are welcoming and accessible.

- Recruitment, retention and success
  - Enroll, retain, support and graduate a diverse student body.
  - Attract, recruit, retain, and support a diverse faculty and staff population.

- Education, scholarship and research
  - Increase proactive university support of scholarship and creative expression, addressing diversity and inclusion in disciplinary and interdisciplinary fields.
  - Increase and assess diversity-rich learning experiences that raise students’ cultural competency, increase understanding of global diversity, and encourage engagement.
  - Develop comprehensive resources for faculty learning, emphasizing inclusive teaching practices that foster communication, collaboration, and relationship building.

This Diversity and Inclusion Strategic Action Plan, in conjunction with Quest for Distinction, the Affirmative Action Plan and the Health Equity Strategic Plan, will guide our intentional and deliberate actions over the next five years, with a mid-term assessment in 2019 and annual progress reports in the interim to assess the university’s progress in meeting the goals set forth in this plan.

Recommendation
Full board approval.
Approval of the 2017-2022 Diversity and Inclusion Strategic Action Plan
2017 – 2022
Diversity and Inclusion
Strategic Action Plan
and Report to the University (Draft)

Submitted By:
Members of the Council for Inclusive Excellence and Equity
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<th>Section</th>
</tr>
</thead>
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<tr>
<td>10</td>
<td>VCU's Commitment to Inclusive Excellence</td>
</tr>
<tr>
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<td>Overview of the VCU Diversity and Inclusion Strategic Action Plan</td>
</tr>
<tr>
<td>16</td>
<td>Plan of Action - Thematic Areas</td>
</tr>
<tr>
<td>16</td>
<td>Institutional Commitment</td>
</tr>
<tr>
<td>19</td>
<td>Climate and Intergroup Relations</td>
</tr>
<tr>
<td>22</td>
<td>Recruitment, Retention and Success</td>
</tr>
<tr>
<td>29</td>
<td>Education, Scholarship and Research</td>
</tr>
<tr>
<td>32</td>
<td>Assessment Process</td>
</tr>
<tr>
<td>35</td>
<td>Next Steps and Concluding Reflections</td>
</tr>
<tr>
<td>37</td>
<td>CIEE Membership</td>
</tr>
<tr>
<td>38</td>
<td>References Consulted</td>
</tr>
<tr>
<td>39</td>
<td>Historical Sketches</td>
</tr>
<tr>
<td>42</td>
<td>Glossary</td>
</tr>
</tbody>
</table>
Executive Summary

Our public urban university is among the most diverse higher education institutions in the commonwealth, measured using key student demographics such as gender, race and ethnicity. That said, we are keenly aware that a diverse student body does not ensure the existence of a welcoming, inclusive and equitable learning and working environment where we honor, respect and engage with differences in our community. That is why an active, intentional and ongoing commitment to diversity, inclusion and equity through our community building, our curriculum and co-curriculum, and our engagement with communities beyond the university is central to the university’s mission.

The Council for Inclusive Excellence and Equity (CIEE, or council) was officially established through President Rao’s appointment of the 24-member group in August 2015. The council’s membership includes students, staff and faculty; spans the various administrative areas of the campus; and is representative of the vice presidents’ units. CIEE’s charge was to provide broad-based recommendations to the president – through the vice president for inclusive excellence – on issues, policies and practices that affect the university’s inclusive excellence work and support for its widely diverse population of students, staff and faculty. The Diversity and Inclusion Strategic Action Plan was created through the CIEE’s working committees and steering committee. The plan is informed by findings from the 2016 climate surveys, which were distributed to faculty, staff and students; Diversity and Inclusion Cafes; the president’s Social Justice Forums; and numerous meetings, interviews and correspondence with students, faculty, staff, alumni and other constituent groups.

The framework to measure progress toward VCU’s inclusive excellence ideals has four key themes connected by an assessment process. These themes provide a guiding structure for the development of an action plan to make excellence inclusive:

1. Institutional Commitment: Dedicate resources, establish intentional and committed initiatives, and act to advance diversity, inclusion and equity at all institutional levels.

   - Provide clear, cohesive and comprehensive communication regarding diversity, inclusion and equity to all university stakeholders.
   - Build and sustain the infrastructure to enhance diversity, inclusion and equity at all levels of the university to support teaching, research, scholarship, creative expression and service.
   - Provide resource supports for diversity and inclusion initiatives aligned to strengthen our university’s academic mission of teaching, research, scholarship, creative expression and service.
   - Ensure accountability for the implementation of the Diversity and Inclusion Strategic Action Plan at all institutional levels and across all constituencies.

2. Climate and Intergroup Relations: Create and sustain a welcoming climate of inclusion where individuals of differing cultural backgrounds, identities, abilities and life experiences are welcomed, valued and supported in their learning, working and living.

   - Create and maintain a climate where all members of the VCU community from diverse cultural backgrounds feel welcome and part of a university-wide community.
   - Create and maintain a living, learning and working environment where everyone feels respected, supported and valued, and where everyone has agency and voice.
   - Ensure that the buildings and facilities are welcoming and accessible for all people and cultures, and, where feasible, are arranged to facilitate cross-cultural interaction.

3. Recruitment, Retention and Success: Intentionally attract and retain a diverse faculty, staff and student body, with reflective and deliberate attention to community needs. Implement strategies for enhancing recruitment, retention and success.

   - Enroll, retain, support and graduate a diverse undergraduate, graduate and professional student body.
   - Proactively attract, recruit, support and retain a diverse faculty and staff population who have voice and agency in helping to shape the Great Place Culture we seek.
   - Increase the proactive, ongoing university support of research, scholarship and creative expression addressing diversity and inclusion issues in disciplinary and interdisciplinary fields, including those initiatives that harness the benefits of diversity in areas not traditionally viewed through a diversity lens.
   - Increase and assess diversity-rich learning curricular and co-curricular experiences that raise students’ critical self-awareness and cultural competency.

4. Education, Scholarship and Research: Provide rich teaching, learning, research, scholarly, creative and service experiences to prepare all students for global citizenship. Support faculty, staff and student research, scholarship and creative expression that address diversity and inclusion issues in disciplinary and interdisciplinary fields.

   - Develop comprehensive resources for faculty to learn, use and evaluate inclusive teaching practices that foster communication, collaboration and relationship building across differences, and support curricular transformations that are reflective of this type of education, research and scholarship.
   - Increase and assess diversity-rich learning curricular and co-curricular experiences that raise students’ critical self-awareness and cultural competency.

The themes are grounded in national frameworks developed to advance diversity, inclusion and equity in higher education institutions. They are meant to guide rather than dictate the framing of how the university and its various academic and administrative units will define the work they will undertake. Listed below are the strategic goals for each of the thematic areas and the assessment process.

1. Institutional commitment
   - Campus climate and intergroup relations
   - Recruitment, retention and success
   - Education, scholarship and research

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4. Education, Scholarship and Research
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The Council for Inclusive Excellence and Equity (CIEE, or council) was officially established through President Rao’s appointment of the 24-member group in August 2015. The council’s membership includes students, staff and faculty; spans the various administrative areas of the campus; and is representative of the vice presidents’ units. CIEE’s charge was to provide broad-based recommendations to the president – through the vice president for inclusive excellence – on issues, policies and practices that affect the university’s inclusive excellence work and support for its widely diverse population of students, staff and faculty. The Diversity and Inclusion Strategic Action Plan was created through the CIEE’s working committees and steering committee. The plan is informed by findings from the 2016 climate surveys, which were distributed to faculty, staff and students; Diversity and Inclusion Cafes; the president’s Social Justice Forums; and numerous meetings, interviews and correspondence with students, faculty, staff, alumni and other constituent groups.

The framework to measure progress toward VCU’s inclusive excellence ideals has four key themes connected by an assessment process. These themes provide a guiding structure for the development of an action plan to make excellence inclusive:

- Institutional commitment
  - Campus climate and intergroup relations
  - Recruitment, retention and success
  - Education, scholarship and research

The themes are grounded in national frameworks developed to advance diversity, inclusion and equity in higher education institutions. They are meant to guide rather than dictate the framing of how the university and its various academic and administrative units will define the work they will undertake. Listed below are the strategic goals for each of the thematic areas and the assessment process.

1. Institutional Commitment: Dedicate resources, establish intentional and committed initiatives, and act to advance diversity, inclusion and equity at all institutional levels.

   - Provide clear, cohesive and comprehensive communication regarding diversity, inclusion and equity to all university stakeholders.
   - Build and sustain the infrastructure to enhance diversity, inclusion and equity at all levels of the university to support teaching, research, scholarship, creative expression and service.
   - Provide resource supports for diversity and inclusion initiatives aligned to strengthen our university’s academic mission of teaching, research, scholarship, creative expression and service.
   - Ensure accountability for the implementation of the Diversity and Inclusion Strategic Action Plan at all institutional levels and across all constituencies.

2. Climate and Intergroup Relations: Create and sustain a welcoming climate of inclusion where individuals of differing cultural backgrounds, identities, abilities and life experiences are welcomed, valued and supported in their learning, working and living.

   - Create and sustain a climate where all members of the VCU community from diverse cultural backgrounds feel welcome and part of a university-wide community.
   - Create and maintain a living, learning and working environment where everyone feels respected, supported and valued, and where everyone has agency and voice.

3. Recruitment, Retention and Success: Intentionally attract and retain a diverse faculty, staff and student body, with reflective and deliberate attention to community needs. Implement strategies for enhancing recruitment, retention and success.

   - Enroll, retain, support and graduate a diverse undergraduate, graduate and professional student body.
   - Proactively attract, recruit, support and retain a diverse faculty and staff population who have voice and agency in helping to shape the Great Place Culture we seek.

4. Education, Scholarship and Research: Provide rich teaching, learning, research, scholarly, creative and service experiences to prepare all students for global citizenship. Support faculty, staff and student research, scholarship and creative expression that address diversity and inclusion issues in disciplinary and interdisciplinary fields.

   - Develop comprehensive resources for faculty to learn, use and evaluate inclusive teaching practices that foster communication, collaboration and relationship building across differences, and support curricular transformations that are reflective of this type of education, research and scholarship.

The framework to measure progress toward VCU’s inclusive excellence ideals has four key themes connected by an assessment process. These themes provide a guiding structure for the development of an action plan to make excellence inclusive:

- Provide clear, cohesive and comprehensive communication regarding diversity, inclusion and equity to all university stakeholders.
- Build and sustain the infrastructure to enhance diversity, inclusion and equity at all levels of the university to support teaching, research, scholarship, creative expression and service.
- Provide resource supports for diversity and inclusion initiatives aligned to strengthen our university’s academic mission of teaching, research, scholarship, creative expression and service.
- Ensure accountability for the implementation of the Diversity and Inclusion Strategic Action Plan at all institutional levels and across all constituencies.
5. Assessment Process: The assessment process offers an important means to monitor progress toward goals and ensure accountability in the implementation of the Diversity and Inclusion Strategic Action Plan. It serves to inform, support and report on efforts to improve diversity, inclusion and equity among all VCU stakeholders in alignment with the university’s mission and strategic goals.

The Diversity and Inclusion Strategic Action Plan, Quest for Distinction, the Affirmative Action Plan and the Health Equity Strategic Plan weave together a comprehensive strategy for inclusive excellence at VCU. Virginia Commonwealth University is at a significant juncture in time, and has the unique opportunity to demonstrate in real, meaningful and impactful ways its institutional commitment to diversity, inclusion, and equity. The focus of that commitment is to build a caring community that appreciates, welcomes and is ready to harness the unique talents and expertise of our widely diverse and dynamic community.

Diversity ... is not casual liberal tolerance of anything not yourself. It is not polite accommodation. Instead, diversity is, in action, the sometimes painful awareness that other people, other races, other voices, other habits of mind have as much integrity of being, as much claim on the world as you do. ... And I urge you, amid all the differences present to the eye and mind, to reach out to create the bond that ... will protect us all. We are all meant to be here together.

– William Merritt Chase
Introduction

As an institution of higher learning, Virginia Commonwealth University (VCU) chooses to be engaged with and respond thoughtfully and intentionally to the social and demographic changes that are transforming our society. To that end, VCU will intentionally integrate its efforts at achieving inclusive excellence into the core aspects of the institution – its academic priorities, leadership, quality improvement initiatives, decision-making, day-to-day operations, community engagement and organizational cultures. Every member of the university community has a stake in VCU’s achievement of inclusive excellence. This plan challenges every member of this university community to embrace diversity, inclusion and equity as core values and to coordinate efforts to make excellence through diversity real at VCU.

For VCU, diversity includes characteristics of race, age, color, ethnicity, gender, sexual orientation, gender identity, gender expression, religion, national origin, migratory status, abilities, political affiliation, veteran status and socioeconomic background. It also includes differences in backgrounds, ideas, thought, values and beliefs. In addition, diversity is associated with principles of inclusion and the creation of safe and supportive environments where differences are respected, particularly with regard to historically underrepresented groups and legally protected categories and characteristics by which individuals identify. Virginia Commonwealth University is a microcosm of a global dynamic pluralism.

VCU is capitalizing on opportunities to launch new initiatives that will redouble efforts to achieve greater gains in access, diversity, urban outreach, equity and inclusion. These initiatives allow the university to establish innovative goals, chart new pathways, review current practices, assess progress and celebrate our successes. They support VCU’s goal to be recognized as a leader and innovator in diversity, inclusion and equity in higher education – a critical and core priority for a premier public urban research university.

The Diversity and Inclusion Strategic Action Plan, Quest for Distinction, the Affirmative Action Plan, and the Health Equity Strategic Plan weave together a comprehensive strategy for inclusive excellence at VCU. Virginia Commonwealth University is at a significant juncture in time, and has the unique opportunity to demonstrate in real, meaningful and impactful ways its institutional commitment to diversity, inclusion and equity. The focus of that commitment is to build on the foundation of a caring community that appreciates, welcomes and is ready to harness the unique talents and expertise of our widely diverse and dynamic community.

Inclusiveness in higher education has become a national priority, as seen in the commitments of accrediting agencies such as the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC), VCU’s accreditation body. In its 2011 diversity position statement, SACSCOC stated, “Diversity is not an abstract concept; rather, it is a true picture of an ever-changing national demographic landscape that reflects every sector of society. Institutions of higher education mirror diversity through their missions, their structures, and their students, faculty and staff.” SACSCOC also recognizes that “diversity in higher education is critical to the social and economic future of this country. Consequently, the commission supports the leadership role of its member institutions in promoting and sustaining diversity in all arenas of higher education.”

VCU’s 2017–2022 Diversity and Inclusion Strategic Action Plan is an outgrowth of the president’s strategic diversity actions, and the university’s core value and commitment to create a diverse, equitable and inclusive environment. This also is an extension of VCU’s previous diversity plan: 2020 Vision for Excellence Five-Year Diversity Plan. This document is intended to lead Virginia Commonwealth University toward its goals of advancing access, diversity and excellence by means of the inclusive excellence model.

This comprehensive long-term diversity, inclusion and equity plan provides overarching institutional guidance for our focused work on strategic priorities. The plan is organized around four themes: institutional commitment; climate and intergroup relations; recruitment, retention, and success; and education, scholarship and research. These themes are connected by an extensive assessment plan.

1 Inclusive excellence, a principle that was introduced by the Association of American Colleges and Universities (AAC&U) in 2003, is a comprehensive and well-coordinated set of systematic actions that focus specifically on fostering greater diversity, equity, inclusion and accountability at every level of university life. Institutionally, inclusion is defined as “the active, intentional, and ongoing engagement with diversity – in people, in the curriculum, in the cocurriculum and in communities (intellectual, social, cultural, geographical) with which individuals might connect – in ways that increase one’s awareness, content knowledge, cognitive sophistication and empathic understanding of the complex ways individuals interact within systems and institutions.” For a glossary of terms, please see Appendix X.

2 Virginia Commonwealth University 2020 Vision for Excellence Five-Year Diversity Plan, approved November 2010.
VCU’s Commitment to Inclusive Excellence

Our public urban university is among the most diverse higher education institutions in the commonwealth, measured using key student demographics such as gender, race and ethnicity. Over forty percent of the VCU student body reports as minority race or ethnicity, and VCU is home to 1,600 international students representing 100 countries. That said, we are keenly aware that a diverse student body does not ensure the existence of a welcoming, inclusive and equitable learning and working environment where we honor, respect and engage with the differences of others. That is why an active, intentional and ongoing commitment to diversity, inclusion and equity through our community building, our curriculum and co-curriculum, and our engagement with communities beyond the university is central to the university’s mission.

VCU’s commitment to inclusive excellence is evident in many documents published by various units and leaders throughout the university over the past seven years. The following citations demonstrate that commitment. On January 28, 2013, the Faculty Senate endorsed a statement to demonstrate its support for diversity and inclusion, and link the work of diversity and inclusion to the academic mission of VCU.

“The members of the Faculty Senate, which represents the faculty of Virginia Commonwealth University, believe that diversity of views, cultures and experiences are critical to the academic goals of higher education. We believe that the VCU community is stronger due to the diverse backgrounds and experiences that each faculty member brings to the university, and that a diverse faculty contributes to educational quality. VCU serves a diverse student population that benefits from diverse academic perspectives. We believe that the recruitment of a diverse faculty is essential to maintaining the excellence needed to achieve the goals of VCU in becoming the premier public urban research institution and academic institution in the commonwealth.”

The VCU Staff Senate is committed to inclusion. Its senators state:

“Our interests and goals are as diverse as our membership. Senators serve on committees across both campuses alongside representatives from the student body, faculty and administration, where we work toward achieving the goals and initiatives outlined in the university’s strategic plan, Quest for Distinction. ... We are open to new ideas and initiatives, which lead to engaged and robust discussion in our meetings. In the spirit of openness and inclusion, our general meetings are open to all VCU staff members and we encourage attendance and participation.”

Both VCU’s provost and vice president for academic affairs, and VCU’s vice president for health sciences, remind the university community that:

“Virginia Commonwealth University is committed to diversity, inclusion and equitable opportunity. In combination with the institution-wide core values, our dedication to this pledge makes VCU a place where people thrive and succeed.”

In 2012, VCU appointed its first chief diversity officer, Dr. Wanda S. Mitchell, vice president for inclusive excellence, and established the Division for Inclusive Excellence. The Inclusive Excellence website states:

“We are committed to fostering an inclusive community that welcomes and supports those historically excluded or underrepresented in higher education.”

VCU intentionally integrates its efforts at achieving inclusive excellence into the core aspects of the institution – its academic priorities, leadership, quality improvement initiatives, decision-making, day-to-day operations and organizational cultures – in order to maximize their success. Diversity is counted among the core commitments within VCU’s mission, underlies our ethical standard for respect and is one of the core values and guiding principles of VCU’s Quest for Distinction strategic action plan. VCU adheres to a dual focus in its diversity efforts that concentrate on both increasing compositional diversity and creating living, learning and working environments in which students, faculty and staff of all backgrounds can thrive and more effectively pursue the mission of the university because of the assets of diversity and inclusion.
The American Association of Colleges and Universities (AAC&U) calls for higher education to address diversity, inclusion and equity as critical to the well-being of democratic culture. “Making excellence inclusive is thus an active process through which colleges and universities achieve excellence in learning, teaching, student development, institutional functioning, and engagement in local and global communities. The action of making excellence inclusive requires that we uncover inequities in student success, identify effective educational practices, and build such practices organically for sustained institutional change.”

The CIEE was officially established through President Rao’s appointment of the 24-member group in August 2015. The council’s work is to assist VCU in realizing and demonstrating its commitment to diversity and inclusion in significant ways.

The council was launched with a retreat on Friday, October 30, 2015, which included a full working session with nationally recognized diversity and inclusion leader and scholar in higher education Dr. Alma Clayton-Pedersen. The retreat facilitator was Dr. Susan Wilkes, a locally recognized psychologist and leadership development expert. The goals for the retreat were to:

- Clarify the role of the council’s goals for their work, related organizational structure and next steps.
- Envision how the council can best support the university’s goal of making excellence inclusive at VCU.
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The council’s structure included a steering committee consisting of 13 members and five working committees. During the 2016 fiscal year, the steering committee met five times and the full council met four times to finalize the draft of the 2017–2022 Diversity and Inclusion Strategic Action Plan. Committees met with facilitator Tammy Jackson, consultant with the Performance Management Group at VCU, throughout the plan drafting period to develop goals, strategic actions and outcome measures. All members participated in the university’s cultural competence workshops in February 2016 and a culturally based team-building retreat in June 2016.

The Diversity and Inclusion Strategic Action Plan was created through the CIEE’s working committees and steering committee. The plan is informed by the findings from the 2016 climate surveys, which were distributed to faculty, staff and students; Diversity and Inclusion Cafes; the president’s Social Justice Forums; and numerous meetings, interviews and correspondence with alumni, students and other constituent groups. The CIEE is responsible for monitoring, reviewing and The council’s membership includes students, staff and faculty; spans the various administrative areas of the campus; and is representative of the vice presidents’ units assessing the initiatives in this plan to ensure that they lead to institutional and cultural change.

It is our highest and best calling as a public research university to drive innovation, progress and compassion for those who learn here, who teach here, who create here, who heal here—and for the countless lives they will someday touch. The impact of what we do, the ripples we make in the pond, are profound and unbounded. As we have taken our place among the nation’s elite public research universities, we have also positioned ourselves at the intersection of access and excellence in ways that very few others have.

– Michael Rao, President of VCU and VCUHS

Overview of the VCU Diversity and Inclusion Strategic Action Plan

The American Association of Colleges and Universities (AAC&U) calls for higher education to address diversity, inclusion and equity as critical to the well-being of democratic culture. “Making excellence inclusive is thus an active process through which colleges and universities achieve excellence in learning, teaching, student development, institutional functioning, and engagement in local and global communities. The action of making excellence inclusive requires that we uncover inequities in student success, identify effective educational practices, and build such practices organically for sustained institutional change.”

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1 https://www.aacu.org/making-excellence-inclusive
The steps involved for broad university vetting, engagement and endorsement include:

- CIEE Steering Committee Plan drafting and endorsement
- Vetting by university stakeholders
- Posting of plan for public comment
- Review and approval by the President’s Action Group on Diversity and Inclusion (PAGDI), the University Council, the president’s cabinet, the VCU president and the board of visitors

The framework to measure progress toward VCU’s inclusive excellence ideals has four key themes, connected by an extensive assessment approach and reporting process. These themes offer a guiding structure for the development of the university’s action plan to make excellence inclusive:

- Institutional commitment
- Campus climate and intergroup relations
- Recruitment, retention and success
- Education, scholarship and research

These themes are meant to serve as a guide rather than an absolute framing of how the university and its various academic and administrative units will define the work they will undertake. The themes and their corresponding initiatives, assessment plans, accountability plans, performance metrics, and measurable goals provide campus leaders with a way to broadly conceptualize and implement diversity work on campus. They also help campus members see how their work and their unit’s work relate to institution-level goals for diversity, inclusion and equity. The institutional indicators, in particular, offer a means to measure progress on goals.

Diversity is a hallmark of VCU that truly differentiates us as an institution of higher education.

– Michael Rao, Ph.D., President, VCU and VCU Health System
Themes with Goals, Initiatives, Metrics and Timeframes for Advancing Diversity and Inclusion at VCU

Listed below are the goals, initiatives, measurements, timeframes and assessment plans for the four themes. For those initiatives that do not have identified targets, precise targets will be established during the early implementation stage of the plan.

I. Institutional Commitment: Dedicate resources, establish intentional and committed initiatives, and act to advance diversity, inclusion and equity at all institutional levels.

Goal One: Provide clear, cohesive and comprehensive communication regarding diversity, inclusion and equity to all university stakeholders.

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<thead>
<tr>
<th>Initiatives and Actions</th>
<th>Measurement and Timeframe</th>
<th>Responsible Unit/ Process Owner</th>
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<tbody>
<tr>
<td>Articulate a clear statement of diversity, inclusion and equity for VCU.</td>
<td>Formal diversity and inclusion strategic action plan adopted and published – 05/2017</td>
<td>Division for Inclusive Excellence (IE)</td>
</tr>
<tr>
<td>Incorporate diversity and inclusion goals and initiatives in all of VCU’s strategic planning processes (e.g., university’s strategic plan) and associated reporting.</td>
<td>Template for incorporating diversity and inclusion goals, strategies and metrics into institutional planning – 08/2017</td>
<td>IE and vice presidents</td>
</tr>
<tr>
<td>Develop a communication strategy on diversity and inclusion that encompasses all forms of media and communication formats for both internal and external efforts.</td>
<td>Communication strategy developed – 08/2017</td>
<td>University Relations</td>
</tr>
<tr>
<td>Provide access for faculty, staff and students to communicate directly with university leadership for open dialog on topics and issues concerning diversity and inclusion.</td>
<td>Diversity and inclusion communications plan designed and implemented – 08/2017</td>
<td>IE, University Relations</td>
</tr>
<tr>
<td>Establish periodic formal updates (written and other media and formats) to inform university community about progress on diversity and inclusion strategic goals.</td>
<td>Diversity and Inclusion Annual Report (narrative and metrics) published – 08/30/2017</td>
<td>IE</td>
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Goal Two: Build and sustain the infrastructure to enhance diversity, inclusion and equity at all levels of the university to support teaching, research, scholarship, creative expression and service.

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<tr>
<td>Incorporate into VCU’s policy development and review process a method to analyze the impact of individual university policies on diversity and inclusion.</td>
<td>Guidance regarding how to conduct a diversity and inclusion policy analysis.</td>
<td>IE, Integrity and Compliance Office</td>
</tr>
<tr>
<td>Assess depth, breadth and availability of resources and services that currently support student, faculty and staff success to ensure that issues and concerns of underrepresented groups are effectively addressed. Make recommendations for enhancing university infrastructure.</td>
<td>Baseline report and recommendations on diversity and inclusion infrastructure (resources and services) – 12/2017</td>
<td>IE, CIEE</td>
</tr>
<tr>
<td>Plan and make available cultural competency training to all faculty, staff and students.</td>
<td>Number of cultural competency programs offered; training participation rate by program and overall – 06/30/2018</td>
<td>IE, Student Affairs (SA), Office of Multicultural Student Affairs (OMSA), Office of Faculty Affairs, Human Resources (HR), Equity and Access Service (EAS)</td>
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Goal Three: Provide resource supports for diversity and inclusion initiatives aligned to strengthen our university’s academic mission of teaching, research, scholarship, creative expression and service.

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<tr>
<td>Establish a clear and regular process for assessing and engaging recommendations of stakeholder groups (task force, councils, advisory committees, etc.) related to diversity and inclusion.</td>
<td>Process in place to review diversity and inclusion requests and initiatives at the unit level – 06/30/2017</td>
<td>President’s office, vice presidents, IE, CIEE</td>
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<tr>
<td>Develop and implement methods to assess need and provide resource supports to achieve the diversity and inclusion goals.</td>
<td></td>
<td></td>
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<tr>
<td>Integrate diversity and inclusion accomplishments into existing recognition and award programs.</td>
<td>Reported on in unit annual reports</td>
<td></td>
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1 E.g., 2016 LGBTQ Task Force Report.
**Goal Four: Ensure accountability for the implementation of the Diversity and Inclusion Strategic Action Plan at all institutional levels and across all constituencies.**

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<tr>
<td>Identify university, unit and division performance dimensions and establish reporting mechanisms relevant to achieving the goals of the Diversity and Inclusion Strategic Action Plan.</td>
<td>Percentage of unit and division annual reports that include progress on efforts to support inclusion and address diversity and equity (baseline 05/01/2018, and targets – TBD)</td>
<td>IE, president's office, vice presidents, CIEE</td>
</tr>
<tr>
<td>Major divisions and departments develop and implement diversity plans consistent with university-wide Diversity and Inclusion Strategic Action Plan.</td>
<td>Percentage of major divisions have plans in place and being implemented by 2018</td>
<td>IE, CIEE</td>
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**Goal One: Create and sustain a climate at VCU where all members of the VCU community from diverse backgrounds feel welcome and part of a university-wide community.**

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<tr>
<td>Provide consistent onboarding and orientation for all new faculty, staff and students to ensure awareness and understanding of all VCU diversity and inclusion policies, resources and goals.</td>
<td>Review and revise onboarding and orientation materials to ensure consistent information and inform awareness of VCU’s diversity and inclusion policies, resources and goals. Communication strategy developed – 07/2018</td>
<td>Office of Faculty Recruitment and Retention (OFRR), HR, Division of Strategic Enrollment Management (SEM), SA</td>
</tr>
<tr>
<td>Provide information and support for the development and engagement of alumni affinity groups.</td>
<td>Alumni engagement plan developed and deployed – 09/01/2017</td>
<td>VP Development and Alumni Relations (DAR)</td>
</tr>
<tr>
<td>Provide resources and a structure to support networking, engagement and programming relevant to affinity and interest groups within the university community.</td>
<td>Number of events and associated dollars to support affinity groups – 06/30/2017</td>
<td>IE, SA</td>
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**Goal Two: Create and maintain a living, learning and working environment where everyone feels respected, supported and valued, and where everyone has agency and voice.**

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<td>Provide professional development and training opportunities that support university commitments and goals targeting success for all students, faculty and staff, ensuring access by all members of the VCU community, and guaranteeing that such trainings are inclusive and culturally relevant in design.</td>
<td>Number of professional development and training opportunities and resources: reported annually 06/30/2017 Available Conducted Attended Evaluated</td>
<td>IE, OFRR, HR</td>
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<tr>
<td>University Climate Survey results – reported on after climate survey administered every 2-3 years</td>
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**II. Climate and Intergroup Relations:** Create and sustain a welcoming climate for inclusion where individuals of differing cultural backgrounds, identities, abilities and life experiences are welcomed, valued and supported in their learning, working and living.
Goal Two: Continued...

Provide access to resources and information to enhance employee understanding of discrimination and harassment prevention, Americans with Disabilities Act compliance and related topics.

- Percentage participation in mandatory Title IX training – 05/01/2017
- Redesign and implementation of department chair training – 07/01/2017
- Number of participants in department chair training – 09/15/2017
- Number of participants in optional Human Resources managerial training focused on diversity, inclusion and related topics – 06/30/2017

Provide ongoing leadership workshops for department chairs and supervisory personnel that focus on department climate, new-generation faculty and staff, campus culture, and the impact of campus culture on the success of faculty and staff from diverse backgrounds.

- Redesign and implementation of department chair training – 07/01/2017
- Number of participants in department chair training – 09/15/2017
- Number of participants in optional Human Resources managerial training focused on diversity, inclusion and related topics – 06/30/2017

Provide support for faculty and staff participation in professional development and volunteer opportunities that have a diversity and inclusion component or focus.

- Office of Faculty Recruitment and Retention–designed and -deployed faculty mentoring program – 09/01/2017
- Human Resources redesign to define career paths and job requirements for staff advancement around Diversity and Inclusion professional competencies– 01/01/2018

Goal Three: Create and maintain a living, learning and working environment where people of diverse backgrounds share experiences.

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<td>Sponsor social and cultural activities and events to engage staff, faculty, alumni and students in university-wide collaboration and community building and in supporting awareness of VCU diversity and inclusion resources.</td>
<td></td>
<td>Provost, IE, SA, VP Health Sciences, DAR</td>
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Goal Four: Ensure that the buildings and facilities are welcoming and accessible for all people and cultures, and, where feasible, are arranged to facilitate cross-cultural interaction.

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<td>Evaluate access issues affecting students, visitors and employees; develop and assess solution options; and develop or make visible initiatives that effectively address specific population access concerns.</td>
<td>Assessment completed – 05/2018</td>
<td>Facilities, IE</td>
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<td>Encourage diverse visual and physical representations across the university campuses, including building design, website and media campaigns.</td>
<td>Climate survey administered every 2-3 years – 04/30/2018</td>
<td>IE, Office of Planning and Decision Support (OPDS)</td>
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<td>Encourage diverse visual and physical representations across the university campuses, including building design, website and media campaigns.</td>
<td>Climate survey administered every 2-3 years – 04/30/2018</td>
<td>IE, Office of Planning and Decision Support (OPDS)</td>
</tr>
</tbody>
</table>
Recruit and enroll a diverse and representative population in all VCU academic programs.

**Initiatives and Actions**

- Undergraduate, graduate and professional enrollment demographic data
- Undergraduate and graduate recruitment efforts include outreach to diverse student populations
- Schools and divisions document good faith efforts to help ensure proper outreach, and modify if necessary
- Target 2017–2018: TBD
- Recruitment efforts reflect outreach efforts to diverse student populations

**Measurement and Timeframe**

- SEM
- Graduate school
- OPDS (data analytics)
- Schools and academic units
- Division for Health Sciences Diversity

**Goals and Metrics**

- Advance university efforts to provide financial aid, scholarship assistance and assistantship assistance to students with financial need (socioeconomic, Pell eligible, etc.).
- Timeframe: Annual reporting on demographic data for all financial aid, scholarship and assistantship recipients in all programs (data available by academic program, race/ethnicity, gender)

**Responsible Unit/Process Owner**

- SEM and OPDS

---

Demographic data included race/ethnicity, nationality, gender, Pell eligible, socioeconomic, disability status, first generation, religion (if available), sexual orientation (if available), regional identity.

To assist in successful outcomes, programs such as mentoring and proactive advising should be implemented and results monitored.

Student may report on race/ethnicity, nationality, gender, sexual orientation, Pell eligible, socioeconomic, disability status, first generation, religion (if available), sexual orientation (if available), regional identity, etc.
## Goal One: Continued...

<table>
<thead>
<tr>
<th>Initiatives and Actions</th>
<th>Measurement and Timeframe</th>
<th>Responsible Unit/ Process Owner</th>
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</thead>
<tbody>
<tr>
<td>Develop and strengthen student mentoring, advising, and other academic and non-academic support programs ensuring and supporting access by underrepresented and at-risk students through continuous improvement and sharing of best practices to departments.</td>
<td><strong>Measurement:</strong> NSSE, Noel Levitz, HERI and Office of Student Experience survey results reflecting student satisfaction with and use of academic and non-academic support services. <strong>Timeframe:</strong> NSSE: Triennial (last administration = spring 2014); HERI (Survey of Diverse Learning Environments): Annual (last administration = spring 2016); Noel Levitz Student Satisfaction Inventory: Triennial (last administration = fall 2015); Noel Levitz Adult Student Priorities Survey: Triennial (last administration = fall 2015); Office of Student Experience: Biannual (last administration = fall 2015).</td>
<td>Provost, OPDS (administration of NSSE, Noel Levitz and HERI, and analysis); Office of Student Experience, Office of Public Health Sciences, OVPHS Division for Academic Success Division for Health Sciences Diversity, OVPHS</td>
</tr>
<tr>
<td>Within three months of receiving survey data, schools, colleges and service units will review survey data, establish action items, identify necessary resources and follow up with a report on progress toward identified action items.</td>
<td></td>
<td>Provost, OPDS (administration of NSSE, Noel Levitz and HERI, and analysis); Office of Student Experience, Office of Public Health Sciences, OVPHS</td>
</tr>
</tbody>
</table>

## Goal Two: Proactively attract, recruit, support and retain a diverse faculty and staff population.

<table>
<thead>
<tr>
<th>Initiatives and Actions</th>
<th>Measurement and Timeframe</th>
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</thead>
<tbody>
<tr>
<td>Provide professional development and leadership advancement opportunities and support for career progression for faculty and staff from all groups, ensuring access to members and populations traditionally underrepresented in their fields.</td>
<td><strong>Measurement:</strong> Documented efforts to encourage participation in professional development and leadership advancement opportunities for all employees Identified resources at the school and administrative level to support professional development and leadership advancement. <strong>Goals and Metrics:</strong> NOTE: Establish baseline and then determine goals/metrics <strong>Timeframe:</strong> 2017–2018: Annual reporting on school-and administrative-level efforts to encourage participation in professional development and leadership advancement opportunities for all employees</td>
<td>OFRR iCubed HR Faculty Senate Staff Senate IE</td>
</tr>
<tr>
<td>Support faculty and staff in the continued development of scholarship, research, creative expression and service that expand an inclusive knowledge base.</td>
<td><strong>Measurement:</strong> Evidence of programs that support faculty and staff in the development of scholarship, research, creative expression and service that engage in the work of inclusion and diversity <strong>Goals and Metrics:</strong> Percentage of participants engaged in the development of scholarship, research, creative expression and service that engage in the work of inclusion and diversity NOTE: Establish baseline and then determine goals/metrics <strong>Timeframe:</strong> 2017–2018: Annual reporting of scholarship, research, creative expression and service through the publication of such work, websites, social media efforts and other outlets, and percentage of participants engaged in these activities</td>
<td>Division for Community Engagement HR IE iCubed Schools and colleges, Faculty Affairs, OPDS</td>
</tr>
</tbody>
</table>
### Goal Two: Continued...

#### Initiatives and Actions

- Provide mentoring and professional development supports for all junior faculty members to support their career progression, ensuring access by all faculty members and programming that is inclusive and culturally informed.

#### Measurement and Timeframe

**Measurement:**

- Faculty Affairs–designed, -deployed and -evaluated faculty mentoring program and professional development workshops and initiatives – 09/01/2017

**Timeframe:**

- January 2018: Human Resources redesign project implementation

**Responsible Unit/Process Owner**

Office of Research and Innovation (research development services)

- Center on Health Disparities
- Faculty Affairs
- OFRR

---

### Goal Two: Continued...

#### Initiatives and Actions

- Provide mentoring and professional development supports for all junior faculty members to support their career progression, ensuring access by all faculty members and programming that is inclusive and culturally informed.

#### Measurement and Timeframe

**Measurement:**

- Faculty Affairs–designed, -deployed and -evaluated faculty mentoring program and professional development workshops and initiatives – 09/01/2017

**Timeframe:**

- Fall 2018: Development of toolkit and training to educate search committees and hiring managers on inclusive hiring practices – fall 2018

**Responsible Unit/Process Owner**

- OFRR

---

### Goal Two: Continued...

#### Initiatives and Actions

- Provide mentoring and professional development supports for all junior faculty members to support their career progression, ensuring access by all faculty members and programming that is inclusive and culturally informed.

#### Measurement and Timeframe

**Measurement:**

- Faculty Affairs–designed, -deployed and -evaluated faculty mentoring program and professional development workshops and initiatives – 09/01/2017

**Timeframe:**

- October 2017: Annual reporting of diversity data on faculty and staff, searches, hiring, promotion, retention and attrition – 10/30/2017

**Responsible Unit/Process Owner**

- OFRR

---

### Goal Two: Continued...

#### Initiatives and Actions

- Provide mentoring and professional development supports for all junior faculty members to support their career progression, ensuring access by all faculty members and programming that is inclusive and culturally informed.

#### Measurement and Timeframe

**Measurement:**

- Faculty Affairs–designed, -deployed and -evaluated faculty mentoring program and professional development workshops and initiatives – 09/01/2017

**Timeframe:**

- Fall 2017: Training on inclusive hiring processes offered

**Responsible Unit/Process Owner**

- OPDS

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### Goal Two: Continued...

#### Initiatives and Actions

- Provide mentoring and professional development supports for all junior faculty members to support their career progression, ensuring access by all faculty members and programming that is inclusive and culturally informed.

#### Measurement and Timeframe

**Measurement:**

- Faculty Affairs–designed, -deployed and -evaluated faculty mentoring program and professional development workshops and initiatives – 09/01/2017

**Timeframe:**

- Fall 2018: Development of toolkit and training on inclusive recruitment practices

**Responsible Unit/Process Owner**

- iCubed

---

### Goal Two: Continued...

#### Initiatives and Actions

- Provide mentoring and professional development supports for all junior faculty members to support their career progression, ensuring access by all faculty members and programming that is inclusive and culturally informed.

#### Measurement and Timeframe

**Measurement:**

- Faculty Affairs–designed, -deployed and -evaluated faculty mentoring program and professional development workshops and initiatives – 09/01/2017

**Timeframe:**

- October 2017: Annual reporting of diversity data on faculty and staff, searches, hiring, promotion, retention and attrition – 10/30/2017

**Responsible Unit/Process Owner**

- OFRR

---

### Goal Two: Continued...

#### Initiatives and Actions

- Provide mentoring and professional development supports for all junior faculty members to support their career progression, ensuring access by all faculty members and programming that is inclusive and culturally informed.

#### Measurement and Timeframe

**Measurement:**

- Faculty Affairs–designed, -deployed and -evaluated faculty mentoring program and professional development workshops and initiatives – 09/01/2017

**Timeframe:**

- Fall 2017: Training on inclusive hiring processes offered

**Responsible Unit/Process Owner**

- OPDS
Goal Two: Continued...

<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>Support and fund the hiring of faculty with expertise in disciplines and studies that address and expand the scholarship, knowledge base and creative products relevant to diverse populations, cultures, beliefs and social identities.</td>
<td>Measurement: Regular reporting of scholarship of new faculty hired</td>
<td>iCubed</td>
</tr>
<tr>
<td></td>
<td>Goals and Metrics: Percentage of new faculty hired who have expertise in disciplines and studies that address and expand the scholarship, knowledge base and creative products relevant to diverse populations, cultures, beliefs and social identities.</td>
<td>OFRR</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Schools and departments</td>
</tr>
<tr>
<td></td>
<td>Timeframe: 2017–2018: Annual reporting</td>
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### IV. Education, Scholarship and Research: Provide rich teaching, learning, research, scholarly, creative and service experiences to prepare all students for global citizenship.

Support faculty, staff and student research, scholarship and creative expression that address diversity and inclusion issues in disciplinary and interdisciplinary fields.

Goal One: Increase the proactive, ongoing university support for research, scholarship and creative expression addressing diversity and inclusion issues in disciplinary and interdisciplinary fields, including those research initiatives that harness the benefits of diversity in areas not traditionally viewed through a diversity lens.

<table>
<thead>
<tr>
<th>Initiatives and Actions</th>
<th>Measurement and Timeframe</th>
<th>Responsible Unit/Process Owner</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide institutional support and infrastructure to incentivize research and collaborative scholarship that support the success of diverse populations on campus, in Richmond and beyond.</td>
<td>Numbers and the amount of funds associated internal grants awarded for research addressing diversity and inclusion related scholarship— reported on annually.</td>
<td>Office of Research and Innovation, IE</td>
</tr>
<tr>
<td></td>
<td>Number of faculty development seminars or workshops focused on increasing knowledge and skills about conducting inclusive scholarship include participation rates and assessment</td>
<td>Schools and colleges</td>
</tr>
</tbody>
</table>

Provide faculty development seminars and workshops each semester to develop research strategies and methods to increase skills and knowledge about conducting inclusive scholarship.

<table>
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</tr>
</thead>
<tbody>
<tr>
<td>Provide faculty development seminars and workshops each semester to develop research strategies and methods to increase skills and knowledge about conducting inclusive scholarship.</td>
<td></td>
<td>University Relations, IE</td>
</tr>
</tbody>
</table>
Goal Two: Increase and assess diversity-rich learning experiences that raise students’ critical self-awareness and cultural competency, increase understanding of global diversity and encourage engagement in the greater community.

### Initiatives and Actions

**Identify, explore and support the development of a wider range of curricular programs and course offerings on diversity and inclusion.**

Provide support to faculty and programs for the development, implementation and evaluation of courses and academic programs related to diversity and inclusion.

**Explore opportunities for integrating diversity and inclusion learning experiences through global education, study abroad and service learning.**

Ensure new diversity and inclusion initiatives are integrated with the design and implementation of VCU’s real-world experience initiatives and the university’s commitment to experiential learning for all students.

Increase student exposure to diversity and inclusion in faculty scholarly and research activities related to diversity and inclusion.

### Measurement and Timeframe

**Institutional and departmental support (dollars, course release time, etc.) for diversity and inclusion curricular and course development and evaluation (baseline 2016–2017, and targets – TBD)**

**Number and percentage of students engaged in experiential and diverse learning opportunities (baseline 2016–2017, and targets – TBD)**

**Current percentages from nine diversity items on the NSSE (baseline 2016–2017, and targets – TBD)**

**Number and perceive benefit of diversity- and inclusion-related session included in new faculty orientation and onboarding (baseline 2017-2018, and targets – TBD)**

### Responsible Unit/ Process Owner

Academic Affairs, IE, CTLE

GEO and Division of Community Engagement

Academic Affairs

Academic Affairs, OPDS for NSSE data

OFRR

### Goal Three: Continued...

**Provide a series of faculty development seminars and workshops each semester to focus on creating inclusive classrooms and responding to challenging diversity and inclusion classroom issues.**

**Provide professional development opportunities that support university commitments and goals targeting success for all students, faculty and staff, ensuring access by all members of the VCU community, and guaranteeing such trainings are inclusive and culturally relevant in design.**

**Institutional and departmental support (dollars, course release time, etc.) for diversity and inclusion curricular and course development and evaluation (baseline 2016–2017, and targets – TBD)**

**Number of seminars and workshops offered, and number of participants (baseline fall 2018, targets – TBD)**

**Number of professional development opportunities and resources: reported annually 06/30/2018**

**Available – Conducted – Attended – Evaluated**

**University Climate Survey results – reported on after periodically administered climate surveys**

### Initiatives and Actions

**Expand new faculty orientation and onboarding to include ongoing sessions throughout the first year that feature topics on diversity and inclusion in the classroom and present inclusive classroom strategies that engage all students in discussions.**

### Measurement and Timeframe

**Number and perceive benefit of diversity- and inclusion-related session included in new faculty orientation and onboarding (baseline 2017-2018, and targets – TBD)**

### Responsible Unit/ Process Owner

OFRR
IV. Assessment Process: The assessment process offers an important means to monitor progress toward goals and ensure accountability in the implementation of the Diversity and Inclusion Strategic Action Plan. It serves to inform, support and report on efforts to improve diversity, inclusion and equity among all VCU stakeholders in alignment with the university’s mission and strategic goals.

Goal One: Increase the proactive, ongoing university support for research, scholarship and creative expression addressing diversity and inclusion issues in disciplinary and interdisciplinary fields, including those research initiatives that harness the benefits of diversity in areas not traditionally viewed through a diversity lens.

<table>
<thead>
<tr>
<th>Process</th>
<th>Measurement and Timeframe</th>
<th>Responsible Unit/ Process Owner</th>
</tr>
</thead>
<tbody>
<tr>
<td>Establish and implement accountability measures for each theme.</td>
<td>Percentage of major divisions that have plans in place and are being implemented by 2018¹</td>
<td>Cabinet</td>
</tr>
<tr>
<td></td>
<td>Items and/or rubrics for assessing performance related to diversity, equity and inclusion are established</td>
<td></td>
</tr>
<tr>
<td>Develop a diversity, equity and inclusion dashboard for CIEE review and feedback.</td>
<td>Diversity and inclusion dashboard communicated to all VCU stakeholders – 06/30/2017</td>
<td>OPDS, IE, CIEE</td>
</tr>
<tr>
<td>Populate dashboard with baseline data (where available). Finalize dashboard and determine distribution schedule.</td>
<td>Diversity and inclusion dashboard annual results provided – 10/31/2017</td>
<td></td>
</tr>
</tbody>
</table>

¹Plans should be developed by major units and reviewed and vetted by the CIEE.

Process | Measurement and Timeframe | Responsible Unit/ Process Owner
---|--------------------------|---------------------------------|
Design or identify and refine survey instrument(s) and targeted qualitative tools to assess VCU climate for diversity, equity and inclusion. | Climate survey administered biannually – 04/30/2018 | OPDS, IE, CIEE
Collaborate on development of communication plan(s) to share survey results with various VCU and external constituencies. | Communications plan(s) designed and survey result disseminated – 01/31/2017 | OPDS, IE, CIEE
Support launch of communication plan(s) to share results with various VCU constituencies. |                                      |                                  |
Assess results of climate survey(s), and identify issues and challenges. | Overall climate satisfaction score for staff (7-point scale) (baseline 2016–2017, and target and gap – TBD) | OPDS, IE
Percentage of students who report a positive experience at VCU (baseline 2016–2017, and target and gap – TBD) |                                      |                                  |
Solicit feedback from key constituencies to inform action plan(s). | Regular meetings with constituency groups to inform progress and solicit input on action plans – 01/31/2017 | IE
Coordinate with CIEE committees to track progress against action plans. | Number of CIEE meetings | OPDS, IE, CIEE
Diversity and inclusion dashboard annual results provided – 10/31/2017 |                                      |                                  |
Next Steps and Concluding Reflections

Feedback on the strategic priorities received at each stage of vetting will be incorporated and reviewed by the CIEE. The CIEE will, parallel to the vetting process, provide a preliminary implementation design, to include the development of a plan and process for integration into the university’s upcoming strategic planning process and the work on the university’s human resources transformation (Great Place Initiative). In addition, CIEE will develop a draft template and process for the integration of the diversity and inclusion plan and strategies into the work and planning processes of individual units. This will include explicit articulation of individuals and units responsible for specific action and strategies, as well as measurement strategies, timelines and necessary resources.

Virginia Commonwealth University is at a significant juncture in time, and has the unique opportunity to demonstrate in real, meaningful and impactful ways its institutional value and commitment to diversity for building a caring community that appreciates, welcomes and is ready to harness the unique talents and expertise of our widely diverse and dynamic community.

VCU has been active in addressing its recognized limitations and impediments to achieving a widely diverse and inclusive community. Much work remains to be done; it is evident that the university community must continue to champion, support and provide leadership and funding to promote a more inclusive community that advances all aspects of diversity and inclusion throughout the university structure. This Diversity and Inclusion Strategic Action Plan, in conjunction with Quest for Distinction, the Affirmative Action Plan and the Health Equity Strategic Plan, will guide our intentional and deliberate actions over the next five years, with a mid-term assessment in 2018 and annual progress reports in the interim to assess the university’s progress in meeting the goals set forth in this plan.
Members of the Council for Inclusive Excellence and Equity

This plan would not be possible without the members of the Council for Inclusive Excellence and Equity:

Holly Alford  
President, Faculty Senate; Associate Professor, Department of Fashion Design

Marianne Baernholdt, Ph.D.  
Director, Langston Center for Quality, Safety and Innovation

Leslie Brown  
Director, Budget and Resource Analysis, Finance and Administration

Cathleen Burke  
Assistant Vice President, Human Resources

Toni-Marie Chandler  
Student Senate Appointee

Rosalie Corona, Ph.D.  
Associate Professor, Department of Psychology

Tim L. Davey, Ph.D.  
Interim Dean, School of Social Work

Sybil Halloran, Ph.D.  
Interim Vice Provost, Division of Strategic Enrollment Management

Rosalyn Hobson Hargraves, Ph.D.  
Associate Professor, Associate Vice President, Inclusive Excellence

Herbert Hill  
Director of Undergraduate Research Opportunities

Catherine Howard, Ph.D.  
Vice Provost, Community Engagement

Charles Klink, Ph.D.  
Interim Vice Provost, Division of Student Affairs

Tom Klug  
Associate Vice President, University Marketing

Sania Marcoccia  
President, Staff Senate; Coordinator of Fiscal Operations, Office of the Provost

Gordon McDougall  
Former Associate Vice President, Development and Alumni Relations

Edward McLaughlin  
Associate Vice President and Athletic Director, Department of Athletics

Wanda Mitchell, Ed.D.  
Former Vice President, Division for Inclusive Excellence

Rosa Morales-Theodore, M.D.  
Chair, Multicultural Affairs Advisory Board; Professor, Department of Psychiatry

Brittani Parham  
Student Senate Appointee

Laura Walsh Rugless  
Director and Title IX Coordinator, Equity and Access Services

Mary Secret, Ph.D.  
Associate Professor, School of Social Work

Kathleen Shaw  
Vice Provost for Planning and Decision Support

Patricia Stauffer  
Senior Associate Athletic Director, Sports Administration

Blue Wooldridge, D.P.A.  
Professor, L. D. Wilder School of Government and Public Affairs

We are thankful to the following persons for their contributions to the planning and review process: Tammy Jackson, PMG at VCU, DeAudrea Rich, and others.
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Historical Sketch

Progress of Diversity at VCU

1838: VCU is founded with the opening of the medical department of Hampden-Sydney College in Richmond which became VCU Medical School.

1867: MCV, City of Richmond, and Freedman’s Bureau open an outpatient clinic for the “sick poor,” both white and colored.

1861: VCU hospital opens during the American Civil War, becoming home to the Confederate army; it is the only school left with the distinction.

1917: VCU admits women to its dentist, medicine and pharmacy programs to meet needs for more medical professionals during World War I.

1920: St. Philip School of Nursing is founded to train African American women. It exists as a separate institution within MCV, and trains 600 African American women before closing in 1962.

1927: The School of Social Work admits its first male students.

1951: Jean Harris enrolls at MCV, becoming the first African American at VCU – before the Brown v. Board of Education integrates public schools.

1967: A small interracial group of students at the Richmond Professional Institute (RPI) holds a series of meetings to address race relations and develop an African American studies program. The African American Studies Committee successfully creates two for-credit courses in African American studies at VCU in 1969.

1967: Grace E. Harris becomes one of three of RPI’s first hired African American faculty. She later becomes dean of the School of Social Work in 1982; provost in 1993; and acting president from April–June 1998, when former President Eugene E. Trani leaves for research purposes. She is the only African American woman to have a building at VCU named after her.

1970: The Black Education Association, or BEA, is formed, a community of scholars committed to advancing institutional equity and diversity through education, research and administrative efforts.

1970: The Eta Tau chapter of Delta Sigma Theta becomes the first historically black Greek letter organization to charter at VCU.

1970: Jim Elam becomes the first African American president of student government. He campaigns on inclusion for the entire study body and more minority professors. Elam uses his platform to establish an Afro-Studies program.

1976: A federal appeals court orders VCU to recognize the Gay Alliance of Students as a campus organization.

1988: The Office of Multicultural Student Affairs (OMSA) is founded in response to intense lobbying from African American students who were underserved and underrepresented. In 1996, OMSA drafts a proposal for broader scope of role and activities on campus, and shifts
to inclusiveness. In 2006, OMSA expands to include LGBTQ students.

1993: The Presidential Awards for Community Multicultural Enrichment is established to recognize contributions and efforts made toward enhancing the goals of inclusive excellence and VCU’s commitment to diversity and inclusion.

1998: VCU School of the Arts in Qatar is established.

1998: Safe Zones are created to reduce homophobia and heterosexism on the VCU campus.


2003: The State Council for Higher Education in Virginia (SCHEV) approves VCU’s African American Studies (AFAM) as a Bachelor of Arts program. As of 2015, the program currently has over 100 AFAM majors.

2005: The University Equity and Diversity Committee is established and chaired by Dr. Beverly Warren.

2007: Dr. M. Njeri Jackson is appointed special assistant to the provost for promoting diversity.

2012: Equality VCU is established as a collaborative, advisory and advocacy body representing the aspirations and concerns of the lesbian, gay, bisexual, trans*, queer, questioning, intersex/DSD and asexual peoples and their allies (LGBTQQIAA) affiliated with the university.

May 2012: Lavender Graduation is established at VCU as a special graduation ceremony that honors the achievements of graduating gender and sexual minority students on campus.

September 2012: Dr. Wanda Mitchell is appointed as vice president for diversity and equity, VCU’s chief diversity officer.

July 2015: The Council for Inclusive Excellence and Equity is established to monitor, review and assess VCU’s diversity, equity and inclusive excellence initiatives, and to develop the new Diversity and Inclusion Strategic Action Plan.

July 2015: The Institute for Inclusion, Inquiry and Innovation (iCubed) is established to promote diversity and inclusion through a strategic investment in academic programs and institutes, focusing on the welfare of urban populations.

October 2015: Gender-neutral and accessible restroom facilities are implemented on the Monroe Park Campus in the Academic Learning Commons, University Student Commons and James Branch Cabell Library.

November 2015: The President’s Action Group on Diversity and Inclusion is a five-member group that works in consultation with the president’s cabinet and the university’s senior leadership to actualize the institution’s commitment to diversity, equity and inclusion.

November 12, 2015: A group of Black VCU student activists demonstrate a sequence of peaceful protests, including a sit-in at President’s Rao’s office, to demand an increase of Black professors and faculty.

November 19, 2015: A two-hour-long Presidential Forum on Diversity and Inclusion is held to address concerns that have arisen over hiring and retaining Black faculty; the need for improved communication about current efforts; cultural competency and respect in the classroom; support of staff diversity; and financial support for OMSA and the Division for Inclusive Excellence.

December 2015: The university renews its commitment to creating a more inclusive culture through the president’s call to action for change with the senior leadership team.

January and February 2016: Members of the president’s cabinet and senior leadership team (including deans, vice provosts and associate vice presidents) participate in cultural competence workshops, which will be ongoing.

May 3, 2016: The new Inclusive Excellence website is launched, enhancing diversity and inclusion communication efforts.

October 13, 2016: The President’s Forum on Social Justice is held with three two-hour sessions throughout the day to identify and discuss issues of equity, diversity and inclusion. More than 600 students, faculty, staff and alumni attend the sessions.
Glossary

Key Concepts

Access: The recruitment and retention of members of traditionally underrepresented groups. Access for all can be achieved only by intentional and deliberate action – utilizing policies, procedures and resources to increase hiring and admission of a widely diverse faculty, staff, administration and student body.

Accountability: Predetermined level of expectations that individuals, units and/or institutions are responsible for attaining.

Assessment: The act of making a judgment and/or the act of evaluating information to monitor and measure progress of institutional commitment to diversity and inclusion and make impactful decisions when necessary.

Campus diversity: A learning community that is enriched by persons of different races, genders, ethnicities, nationalities, economic backgrounds, ages, abilities, sexual orientations, gender identities or expressions, marital statuses, languages, veteran statuses and religious beliefs, because intellectual thought and participation in a diverse educational community enriches students’ education and enhances their ability to participate in a rapidly evolving, multicultural nation.

Climate: The practices, principles and values of the working, living, and learning environment of an organization, as it is perceived by members of the organization.

Diversity: At VCU, diversity encompasses differences and similarities by such characteristics as race, age, color, ethnicity, gender, sexual orientation, gender identity, gender expression, religion, national origin, disability status, political affiliation, veteran status and socioeconomic background. It also includes differences in backgrounds, ideas, thought, values and beliefs. Diversity is also associated with principles of inclusion and the creation of safe and supportive environments where differences are respected, particularly with regard to historically underrepresented groups and legally protected categories to which individuals may belong.

Education, scholarship and research: Provide rich teaching, learning, and research and service experiences to prepare all students for global citizenship; and support faculty, staff and student research that addresses diversity and inclusion issues in disciplinary and interdisciplinary fields.

Equity: The fair and just allocation of resources, opportunity and treatment aimed at success for every member of the university community.

Inclusive excellence: A comprehensive and well-coordinated set of systematic actions that focus specifically on fostering greater diversity, equity, inclusion and accountability at every level of university life.

Inclusion: The active, intentional and ongoing engagement with diversity – in people, in the curriculum, in the co-curriculum, and in communities (intellectual, social, cultural, geographical) with which individuals might connect – in ways that increase one’s awareness, content knowledge, cognitive sophistication and empathic understanding of the complex ways individuals interact within systems and institutions.

Institutional commitment: Leadership establishes direction and commitment through mission, values, goals, and strategies, which combined define the behaviors and actions that are expected from all members of the institution. While institutional commitment begins with leadership, it is realized through the adoption and implementation by the members across the institution.

Recruitment and retention: Institutional efforts to increase diversity of students, faculty, staff and administrators at the university, with the goal of increasing the presence of diverse faculty and staff at all ranks, levels and pay bands. An important key is maintaining a student body reflective of the diversity of college bound students in the commonwealth of Virginia by ensuring a climate that offers access, opportunity and support for the success of all students.

Success: Performance or achievement that is marked by accomplishment of goals and expectations.
HUMAN RESOURCES REDESIGN
HR Redesign Summary Report

May 2017

Background
When VCU conducted its Great Place Initiative survey in 2013, faculty and staff overwhelmingly indicated the need to improve many aspects of our human resources system. Over the years, VCU has taken steps to address some of these needs. However, to truly be more responsive to the needs of our employees, we must modernize our human resources practices for classified staff and administrative and professional (A&P) faculty in a comprehensive way. By being a great place to work – a place where faculty and staff can do meaningful work, a place of opportunity, where success is supported and careers thrive – VCU will be better able to hire and keep talented individuals who provide the highest quality service to students, patients, and our community.

A Brief History
VCU has the authority to restructure its HR plan under the state’s 2005 Restructured Higher Education Financial and Administrative Operations Act. We know that our employees value their benefits, so throughout this process we considered how to keep what works and update the rest. Our peer universities in Virginia (Virginia Tech, the College of William & Mary, and the University of Virginia) have already successfully transitioned to new HR plans under the Restructuring Act.

Policy overview
More than 100 employees from across VCU, serving on nine HR Redesign committees, researched best practices from other universities and large employers to draft a policy to govern VCU’s new HR plan. The draft policy primarily impacts 2,718 classified staff members and 868 A&P faculty employees at VCU. The proposed HR policy specifically modifies

- **Employee Groups**: A new employee category, University and Academic Professionals.
- **Employment**: Streamlined recruitment process to promote hiring a diverse and highly qualified workforce. It also adopts a one-year probationary period for all newly hired University and Academic Professionals.
- **Compensation**: A new job family structure with flexible career paths for advancement opportunities, market-based salary ranges and merit-based pay.
- **Performance management**: A standardized process with more meaningful feedback that connects employee goals, contributions and career interests with VCU’s strategic priorities creating a direct line of sight to the university mission and vision.
- **Career development**: Access to a range of learning opportunities supporting the need for all employees to stay current in their field, develop their capabilities, increase competencies and prepare for career advancement.
- **Leadership development**: Defines critical competencies for effective leaders at VCU and creates a leadership development curriculum to nurture and develop these competencies through a series of learning, networking, and mentoring experiences.
- **Employee Relations**: Encourages informal dispute resolution with clear direction for when a formal process is needed; integrates performance management and progressive discipline for corrective actions and provides layoff and severance benefits during workforce reduction.
• **Alternative Work Arrangements**: Expands alternative work options to promote better work/life balance and provides resources to educate and encourage utilization.

• **Paid Leave**: Provides a competitive, flexible paid time off benefit with more modern definitions and family-friendly improvements to parental and caregiving leave and enhanced short term disability and community service leave.

**Feedback**
A draft of the new HR policy was posted for university-wide review and comment from February 17, 2017 to March 17, 2017. During this time, we received 5,472 visits to the website (48% of which was new traffic), 96 questions and a total of 889 comments. The HR Redesign project team responded to each submission to provide answers to questions or assure them their feedback would be considered during revisions to the policy. Some employees submitted comments anonymously, in which case we posted their questions and our answers to the website FAQ page. Faculty and Staff Senates, the Dean’s Council, the Associate Dean’s Forum, and several focus groups also reviewed and provided input on the draft policy.

**Next steps**
All comments and questions have been reviewed by HR Redesign committees and considered for final changes to the policy. University Council will review in May before a report is made to the board of visitors. Upon final policy approval by the President’s Cabinet, VCU Human Resources will develop procedures, guidelines, training and other resources to ensure the policy is managed as intended.

**Implementation**
January 1, 2018 is the planned effective date of the new HR policy.

*Automatic enrollment for new classified staff*
Classified staff hired at VCU since July 1, 2016 automatically convert to the University and Academic Professional employee group on the January 1, 2018. After January 1, 2018, VCU will no longer hire classified staff.

*The option to stay classified staff*
Classified staff hired before July 1, 2016 will have a choice to remain classified staff, or elect to convert to the University and Academic Professional employee group. There will be a 90-day enrollment period from January to March 2018 for employees to decide. Employees will be provided a side-by-side comparison of the current and new policies along with other support resources to assist them in making this decision. VCU is required by the Restructuring Act to provide an enrollment option to classified staff at least every two years. The effective date for those who elect to switch during the enrollment period is July 1, 2018.

*Options for A&P faculty*
VCU will no longer hire Administrative & Professional Faculty (A&P) after July 1, 2018. Current A&P faculty positions will be evaluated to determine how best to categorize individual employees in the new HR plan. A&P Faculty will be notified in their next contract cycle (July 2017 for most) of upcoming changes and will have a reconsideration process if they disagree with their position allocation.

Through the HR best practices reflected in the new HR policy, VCU is better positioned to connect employees with the university’s mission, vision, and core values creating a more vibrant learning and scholarly community – a great place to work – that will attract and retain highly qualified talent in a very competitive market.
PRESENTATION
HR Redesign Project

Using authority granted under Tier III restructuring to align VCU’s human capital with the University’s mission, core values, and strategic direction to hire and keep highly qualified talent in a very competitive market by being a Great Place to Work.

**PROGRAMATIC**

- Respond to the employee feedback from the Great Place Initiative survey and the University’s needs to modernize HR practices
  - Career and professional development, mentoring and networking
  - Career advancement, promotional opportunities, and career paths
  - Meaningful performance evaluation, reward and recognition
  - Leadership development
  - Market and merit based pay/Leave/Benefit

**STRATEGIC**

- Align the University’s workforce with its strategic priorities and build connections to strengthen the University community
  - Cascade goals and shared values from organization to school/unit to individual; create “line of sight” connecting employees to University vision and mission; align competencies and behaviors; provide meaningful feedback; reward and recognize through pay for performance
  - Create “career communities” across the University bringing together practitioners to share knowledge, promote innovation, increase competence, enhance networking, mentoring, and leadership opportunities

**Great Place to Work**

where faculty and staff can do meaningful work, a place of opportunity, where success is supported and careers thrive.

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**Timeline**

- **Start up** 3/1/16 - 3/30/16
- **Research and Design** 4/1/16 - 2/28/17
- **University Review** 3/1/17 - 4/31/17
- **Board Report** May 2017
- **Finalize Policies and Procedures** 6/1/17 - 12/31/17
- **Enroll** 1/1/18 - 3/31/18
- **Review Revise Refine** 4/1/18 -

Plan, Communicate, Engage 4/1/16 - 3/31/18
Open Comment Period

- Feb 17 to March 17, 2017
- 5,742 sessions on web (48% new)
- 320 submissions; 889 comments
- 96 FAQs; 80 w/emails plus 76 questions in comments

- Of 889 comments:
  - 655 (74%) Acknowledged
- Of remaining 234:
  - 190 (81%) Agreed
  - 44 (19%) Disagreed
Highlights of new HR plan

- Modernized Leave Plan
- Market-based salary ranges and merit-based salary increases
- Retain state retirement and state health benefits
- Leadership Development
- Job family Structure
- Performance reviews with career development plans
- Communities enhancing career development
- Job Continuity
- Affiliate and adjunct faculty appointments for academic professionals
- Alternative Work Arrangements
- Career paths
- Retain state retirement and state health benefits
## Implementation

<table>
<thead>
<tr>
<th>May</th>
<th>Finalize policy</th>
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| May to Oct | Develop procedures, resources, training  
Review and allocate positions |
| Aug to Nov | Implement performance management and LMS software |
| Jan 1, 2018 | Effective date for July 1, 2016+ hires  
Notify continuing employees |
| Jan to Mar 2018 | Classified staff enrollment period  
Reconsideration period for position allocation |
| July 1, 2018 | A&P Faculty and Classified staff conversions |
Action Item:
Resolution Endorsing the University’s redesigned Human Resource Policy under the University’s Management Agreement

WHEREAS, the Management Agreement entered into by the Virginia Commonwealth University (VCU) and the Commonwealth pursuant to the Restructured Higher Education Financial and Administrative Operations Act, authorizes the President to adopt and implement new human resources plan for VCU employees; and

WHEREAS, the Restructured Higher Education Financial and Administrative Operations Act and its subsequent Management Agreement provided VCU an opportunity to develop a new human resources plan for non-faculty employees hired on or after July 1, 2016; and

WHEREAS, with the approval of this policy effective January 1, 2018, VCU will commence a 90-day enrollment period during which classified staff my elect to participate in and be governed by the new human resource policy; and

WHEREAS, Administrative and Professional faculty will be converted to the appropriate employee group effective July 1, 2018 after receiving proper notice and undergoing a position review and reconsideration process;

NOW, THEREFORE, be it resolved by the Board of Visitors of Virginia Commonwealth University (BOV) as follows:

The BOV hereby endorses the President’s approval of the proposed human resource policy, which includes changes to employment categories, compensation structure, performance management, career and leadership development, employee relations, alternative work arrangements, layoff, and leave benefits, as described in the draft policy that recently underwent an extensive public comment period.
VCU School of the Arts in Qatar exemplifies VCU’s commitment to global outreach and education, presenting significant opportunities for cross-cultural exchange. It increases the visibility and impact of VCU and the School of the Arts internationally and adds value to our programs here in the U.S.
History
VCU School of the Arts in Qatar

• In 1997 an invitation was extended to Dean Richard Toscan by the Qatar Foundation to visit Doha, Qatar. This was attributed to the national rankings of the School of the Arts.

• VCU, through its School of the Arts, entered into a service agreement in June 1998 with the Qatar Foundation for the development and operation of the Shaqab College of Design Arts, offering majors in Graphic Design, Fashion Design and Interior Design. The first class enrolled in September 1998. This was a cost reimbursable contract with ~$500,000 in management and administrative fees being returned to the School of the Arts annually.

• In 2001, the State Council of Higher Education recommended to the Governor and the General Assembly that VCU School of the Arts in Qatar become a formal branch campus of VCU. Authorized by the Commonwealth of Virginia’s legislature in 2002, VCU entered into a 10-year agreement with the Qatar Foundation to establish and operate a degree-granting branch campus of VCU. The management fee for the first four years was fixed at $1,000,000 annually. Beginning in year five, the management fee was $1,500,000, which was adjusted annually to reflect the percentage change of the Higher Education Price Index (HEPI) from the prior fiscal year as published by the U.S. Department of Education.
VCU was the first U.S. university in Education City, followed by other prestigious U.S. institutions. In 2001, Weill Cornell Medical School signed an agreement with the Qatar Foundation, followed by Texas A&M University in 2003, Carnegie Mellon University in 2004, Georgetown University in 2005, and Northwestern University in 2008.
Hamad bin Khalifa Symposium on Islamic Art

The Hamad bin Khalifa Endowed Chair in Islamic Art at VCU was established in 2002 as an endowment fund with a $2,000,000 cash gift from His Highness Sheikh Hamad bin Khalifa Al-Thani, the Emir of Qatar. The distinguished scholars of Islamic Art, Drs. Sheila Blair and Jonathan Bloom, were appointed in 2006 as the inaugural holders of the Hamad bin Khalifa Endowed Chair in Islamic Art.

Qatar made a commitment to become a leader in university education for the Arabian Gulf region and the Arab world. The biennial international Hamad bin Khalifa Symposium on Islamic Art was born out of this resolution. This bold initiative, bringing together the top scholars in Islamic art, provides opportunities to VCU faculty and its undergraduate and graduate students. The Hamad bin Khalifa Endowed Chair has led six international symposia: Richmond, Virginia (2); Doha, Qatar (2); Córdoba, Spain; and Palermo, Italy. The proceedings from each symposium result in a hard-cover book published by Yale University Press.

This year's Hamad bin Khalifa Symposium on Islamic Art will be held in Richmond, Virginia, at the Virginia Museum of Fine Art, November 2-4, 2017.
Tasmeem Doha

• The biennial design conference Tasmeem Doha is an event centered on relevant themes in art and design. Co-chaired and organized by VCU and VCU School of the Arts in Qatar faculty, the event has drawn reputable and creative influencers from all over the world. Tasmeem Doha is an important opportunity for co-curricular projects and exchange with students and faculty on the Richmond campus—workshops, performances and exhibitions are designed specifically for the conference, fostering long-term collaboration between the two campuses.

• This year’s Tasmeem Doha was co-chaired by VCUarts Assistant Professor John D. Freyer and VCU School of the Arts in Qatar Assistant Professors Michael Perrone and Marco Bruno.

Both Tasmeem Doha and the Islamic Art Symposium lead to greater cultural awareness and empathy—elements essential in building an engaged arts community. These opportunities also promote global awareness, forge creative networks, and add to diverse cultural influences.

• In 2009, two academic programs were added at VCU School of the Arts in Qatar: a BFA in Painting + Printmaking and a MFA in Design Studies, with no additional management fee.

• VCU renewed a 10 year agreement with the Qatar Foundation in 2012. The management fee for costs and oversight was fixed at $3,400,000 and adjusted to reflect the percentage change during the prior year of the HEPI (capped at 3%). The BA in Art History was added in 2012 with an addition to the management fee of $250,000.
Research

- The VCU School of the Arts in Qatar budget represented $36,249,000 (13.3%) of VCU’s $271,200,000 research portfolio in FY16.

- Since 1998, the total management fee received from the Qatar Foundation is ~$35M.

VCU Faculty Research
* Qatar National Research Fund faculty grants awards:

2009 $1,018,090, Pamela Taylor, PhD (VCU Art Education)

2013 $908,872, Massimo Bertino, PhD (VCU Physics) with Khaled Saoud, PhD (VCUarts in Qatar Liberal Arts & Sciences)

2015 $543,934, Michael Schreffler, PhD (VCU Art History) with Dina Bangdel, PhD (VCUarts in Qatar Art History)

VCUarts Research Grants
(funded by the management fee beginning 2002)

Dean’s Research Grants
Dean’s Exploratory Grants
Dean’s Research Reassignments
Graduate Student Research Grants
Graduate Student Travel Grants
Dean’s International Study Grants

*Qatar Foundation established Qatar National Research Fund (QNRF) in 2006 as part of its ongoing commitment to establish Qatar as a knowledge-based economy.
Professor Massimo Bertino, PhD, Department of Physics, VCU College of Humanities and Sciences (shown above) and Khaled Saoud, PhD, assistant professor of physics in the Liberal Arts & Sciences Department at VCU School of the Arts in Qatar were supported by the Qatar National Research Fund to develop cost-effective, scalable procedures for fabricating custom shaped aerogels—ultra-light, highly porous, thermally insulating materials.

Professor Pamela Taylor, Art Education, received a 2009 Qatar National Research Fund grant for “Research for the Development of eLASTIC: Electronic Learning and Assessment Tool for Interdisciplinary Connections.”
Student Experience

Funds from the management fee help to provide quality experiences for VCU students, including:

- Dean’s Scholarships—awarded to high achieving students from each of the 16 programs, with two in Art Foundation, for a total of $34,000 annually.

- Biennial exhibitions held in New York City by the Sculpture + Extended Media and the Painting + Printmaking Departments.

- A summer program in Morocco for VCUarts Fashion Design students from Richmond and Qatar, to be piloted this year.

- Student exchanges—with over 50 VCU students studying at the VCU School of the Arts in Qatar and more than 40 students studying at VCU since 2007.
Curriculum/Cross Pollination

Rich dialogue between the two campuses allows for sharing of best practices, influencing curriculum and content delivery.

• Branch programs for VCU School of the Arts in Richmond and in Qatar include:
  Art Foundation
  Painting + Printmaking
  Fashion Design
  Graphic Design
  Interior Design

(The School of the Arts in Qatar Design Studies MFA has no corollary at VCU.)

• There is consistent engagement at the faculty and administrative levels sustaining the relationship between the campuses and helping to cultivate a greater global presence for the institution. Since 1998, there have been 18 VCU faculty members reassigned to the School of the Arts in Qatar, with the following representation: School of the Arts (13); College of Humanities & Sciences (3); the Provost’s Office (1); and the Controller’s Office (1).
Welcome, and thank you for taking the time to learn about what has been happening at VCUQatar
I am Akel Kahera, I joined VCUQatar in Fall 2014....
• VCUQatar has a truly unique environment that has contributed to some very exciting outcomes that in some cases has served as a model for the larger VCU community.
Stability
Qatar remains politically stable in a volatile region. According to the Global Peace Index it remains the safest country in MENA and the 34th safest country globally out of 164. Its immediate shared border neighbor ranks 129, Saudi Arabia.

Happiness
• According to the UN’s World Happiness report in 2017, Qatar is ranked #35 in the world, with the highest GDP, ranked #12 in freedom to make life choices, #34 on Generosity, and #3 in Trust or absence of corruption. While the US is falling in the rankings, Qatar is rising.
• According to the Expat Insider 2016, the average full time employee in Qatar works about 46.5 hours per week, which is about equivalent to the US’s 47 hours per week according the Gallup poll. According to the HSBC Expat explorer survey on work life balance, Qatar is ranked #29 just above the US, with a much higher score in Economics and a slightly higher score in family life, especially in the raising children category.

Government
• Monarchy with peaceful transition from father Emir Sheikh Hamad bin Khalifa to his son with Wife HH Sheikha Moza bint Nasser (founder of Qatar Foundation), Sheikh Tamim bin Hamad Al Thani in 2013. Under Sheikh Tamim, strained relations between Qatar, Bahrain, Saudi Arabia and UAE have improved.
• Focus on improving domestic welfare, healthcare, education and infrastructure for 2022 world cup.

Legal System
• Foreign businesses and nonprofits generally are subject to civil law emerging from its colonial history with Brittan.
• Its courts are an independent structure, different from other courts in the region.
• The Adila court founded in 1971 covers civil commercial and criminal cases for Expats, and labor disputes.
• Sharia Court generally applies to all civil and criminal disputes for Muslim expats and Qataris except for labor disputes

Notes continued on next page
Economy:

• Policy focused on sustaining natural gas reserves and increasing investment in non-energy sectors. Oil and gas are 92% of export earnings, and 56% of government revenues
• Qatar has the world's highest per-capita income and lowest unemployment
• Lowered oil prices resulted in $12.8Bil deficit in 2016. Qatar has cancelled or delayed over three billion dollars in infrastructure improvement and new construction and recently Qatar Foundation laid off approximately 900 people, with more reductions anticipated.
• Like the rest of the GCC Qatar has made drastic, yet necessary cuts to its spending. Having realized more than two decades ago a carbon based economy is not infinitely sustainable. Qatar continues to move towards a “knowledge based economy.” This was the impetus for the establishment of centers like Education City.
• Consultancy Control Risks says Qatar is low risk for operating businesses
• By 2018 the introduction of a 5 percent VAT tax is predicted. The GCC states however are expected to raise the VAT tax to 10 percent within the coming 4 to 5 years. (arabianbusiness.com April 2017)

Human Rights

• Tier II watch list with evidence it is “making significant efforts” to resolve its issues including reforming the work visa system in 2017
• Admittedly Qatar still has room for improvement in reforming its labor practices and workers rights. This is a recurring theme in all of the GCC.

References:

VCUQatar attracts faculty and staff from across the world. The vast majority of our faculty are from America, many sourced from VCU itself, which is in keeping with Qatar Foundation’s original desire to have an “American style education” in Qatar.

However, there is quite a diversity in other nationalities as well, with 19% of our faculty from Asia Pacific and MENA regions, and 17% from Europe. Our Staff are much more diverse, with only 4% from North America, 7% from Europe, and 89% coming from MENA, Asia Pacific and Africa.

Qatar Faculty and Staff: 2 Faculty members are Qatari (2.5% of faculty), and 7 Staff members (10% of Staff)

Our students are primarily female Qataris. But we do have a healthy international student population as well as a vibrant mix of children of expats coming from about 40 countries around the world, primarily from MENA and Asia and the Pacific Islands.

Our student population is 61% Qatari, the closest of any branch campus to achieving the Operating Agreement’s stipulation of 70% Qatari enrollment.

The population in Qatar is: Africa 4% Asia Pacific 67% Europe 2% Qatar 11% MENA 15% North America 1% South America 1% Total 2.8Mil
“Today we are at the beginning of a fourth Industrial Revolution. Development in genetics, artificial intelligence, robotics, nanotechnology, 3D printing and biotechnology to name a few, are …transforming what, where and how products are designed, manufactured, assembled, distributed, consumed, serviced after purchase, discarded and even reused.” -Technology and Innovation for the Future of Production: Accelerating Value Creation White Paper by World Economic Forum, March 2017, p 4.

• As such, human talent and creativity rather than capital are emerging as the key factors in the Fourth Industrial revolution
• VCUQatar is focused on developing advanced production skill capability in our students through innovative pedagogy, cutting edge technologies and collaboration with STEM partners; activating a maker culture in Qatar through design thinking and creative problem solving.
• The 2016 MENA Design Education Outlook report projected the design industry to grow by 6% in the region, to $55Bil by 2019.
  • The report survey companies in the region who projected a 20% annual increase in Junior designer headcount, and 7-14% increase in middle manager headcount.
  • Qatar is one of the fastest growing design markets in the region, with a compound annual growth rate of 12%, driven by retail, with Fashion as the dominant segment.
  • For students, the international reputation of a university is the #1 driver in picking a design school
  • Report speaks highly of VCUQatar, mentions as one of the only accredited schools in region, and only one hosting design conference : http://www.dubaidesigndistrict.com/wp-content/uploads/2016/05/MENA-Design-Education-Outlook-Study-English-min.pdf
As the MENA design report articulated, the key needs of the region are in developing a creative workforce to address the four pillars of human, social, environmental and economic development. The focus is on diversification of the economy, development of human capital towards a knowledge economy, preserving heritage while developing a stable society, and harmonizing economic development and environmental protection, are all foci that VCUQatar specifically address in its strategy.

At this year’s state of the union Address, President Rao articulated that the university is committed to positive progression of humanity through discovery and innovation, and that it is the job of the university and VCU in particular that we connect our work with the needs of the community, solve urgent and vital problems, and be a part of the community. Our strategic plan is firmly in line with this and the strategic plan of VCU, albeit, oriented towards our community here in Qatar.

VCUQatar’s Strategic Plan and alignment with VCU’s plan
1 Value of the Arts: Cultivate understanding about the potential and value of art and design in Qatar and the region. (In line with VCU’s SP Theme III: Become a national model for community engagement and regional impact)
   1.1 Develop projects and initiatives that take VCUQatar out into the community
   1.2 Develop stronger links to partner organizations
   1.3 Develop projects and initiatives that bring the community into VCUQatar
   1.4 Raise the profile of VCUQatar through means of communications appropriate to local culture

Notes continue on the following page.
2 Learners: Attract, develop and support self-directed lifelong learners and creative innovators
(Theme I: Become a leader among national research universities in providing all students with high-quality learning/living experiences focused on inquiry, discovery and innovation in a global environment)

2.1 Build relationships with individuals at schools and colleges that might serve as feeders to VCUQatar. Support faculty involvement in the recruitment process to facilitate building these relationships.

2.2 Open/change the curricula to include/create options for personal development and enable students to choose their own academic paths.

2.3 Facilitate undergraduate research through funding and other types of support, and promote alignment of research with grand challenges stipulated in QNV 2030. 2.4 Expand Involvement of alumnae in recruitment of new students, informing a revision of the curricula, and mentoring students at all states of the academic journey and career development.

3 Programs: Facilitate access and flexibility in learning through diverse and open platforms and programs. (Theme I.1.a and I.1.b: 1. Recruit and retain talented and diverse students who will graduate at a higher rate than our Quest peers and serve as leaders in a well-educated workforce a. Develop experiential learning curriculum (Real World Experience or RWE) for full implementation with fall 2017 entering cohort (freshmen and transfer students), b. Strengthen programs / initiatives that support access, reduce student debt, increase internal financial assistance, and speed timely graduation)

3.1 Develop curricular interdisciplinary platforms.

3.2 Integrate curricular-based real world projects that drive innovation into the classroom.

3.3 Develop process in support of assessment-knowledge sharing-dissemination.

4 Local needs: Contextualize learning and research to the needs of Qatar and the region (Theme III.1: Become a national model for community engagement and regional impact 1. Leverage and align efforts of students, faculty and staff to enhance, disseminate and integrate community engaged scholarship, student service learning opportunities and outreach)

4.1 Develop initiatives to create experiences and incentives for students that fosters an environment of learning as research/research as learning.

4.2 Develop initiatives that will include opportunities for “real-life” projects in the classroom to encourage collaboration and research focused on the needs of Qatar and region: develop and sustain relationships with local and regional partners within academia and external partners in order to help students understand the value of research and to prepare them to meet their future career goals. (Similar to 3.2)

4.3 Develop initiatives that will reinforce the significance and relevance of local and regional sensibilities and objectives, while taking into consideration the diversity of local contexts.

4.4 Develop initiatives that will sustain and encourage collaboration among students and faculty at an institution by providing incentives for innovation and creativity in research and learning.

*Notes continue on the following page.*
5 Interdisciplinary: Engage in collaborative inquiry and innovation that transcends disciplinary boundaries in education and research (Theme II.2: Increase interdisciplinary research and interprofessional education, scholarship and practice among arts, humanities and sciences Improve recruitment and retention of diverse faculty and staff )

5.1 Develop incentives to reward and assess interdisciplinary research and coursework.
5.2 Encourage professional collaborations at a grassroots level.
5.3 Expand awareness of VCUQatar’s research to attract local and global collaborators.

6 Operations: Enhance operational systems to support excellence, sustainability and work life balance at VCUQatar. (Theme I.2: Recruit and retain progressive and diverse faculty, staff and senior leadership with the skills and talents to advance quality teaching and learning, along with high-impact research, scholarship and creative expression)

6.1 Build systems that create highly successful faculty and staff through their “life-cycle” at VCUQatar.
6.2 Develop and evaluate systems that support and encourage environmental sustainability.
6.3 Enhance operational guidelines and procedures to improve transparency and effectiveness.
6.4 Continuous review of economic resources to ensure alignment with strategic goals and sustainability.

VCU’s Strategic Plan

Theme I: Become a leader among national research universities in providing all students with high-quality learning/living experiences focused on inquiry, discovery and innovation in a global environment

1. Recruit and retain talented and diverse students who will graduate at a higher rate than our Quest peers and serve as leaders in a well-educated workforce
   a. Develop experiential learning curriculum (Real World Experience or RWE) for full implementation with fall 2017 entering cohort (freshmen and transfer students)
   b. Strengthen programs / initiatives that support access, reduce student debt, increase internal financial assistance, and speed timely graduation
   c. Expand online course and program offerings
   d. Improve / redesign gateway courses
   e. Strengthen advising / career counseling
   f. Increase internal Student financial aid (% UG need met; % 1st Professional student need met)

2. Recruit and retain progressive and diverse faculty, staff and senior leadership with the skills and talents to advance quality teaching and learning, along with high-impact research, scholarship and creative expression
   a. Improve recruitment and retention of diverse faculty and staff
   b. Implement iCubed (research pipeline, cluster hiring and retention initiative)

Notes continue on the following page.
Theme II Attain distinction as a fully integrated urban, public research university through contributions in human health, research, scholarship and creative expression that advance knowledge and enhance the quality of life

1. Leverage health system/university assets to address social determinants of health
2. Increase interdisciplinary research and interprofessional education, scholarship and practice among arts, humanities and sciences Improve recruitment and retention of diverse faculty and staff
3. Sustain the success of high-performing research institutes and centers and engage stakeholders in identifying promising areas of research and academic program investment
   a. Receive NCI re-designation for Massey Cancer Center

Theme III Become a national model for community engagement and regional impact

1. Finalize design and begin implementation of the Center for Urban Communities (preliminary focus areas: K-12 education/lifelong learning and health literacy and access)
   a. Complete development of C4Uc infrastructure
   b. Create work/implementation plan to target identified community issue
   c. Launch of Community-Engaged Partnership Map
2. Leverage and align efforts of students, faculty and staff to enhance, disseminate and integrate community engaged scholarship, student service learning opportunities and outreach
3. Implement strategies to partner with city/region in advancing economic development
   a. Articulation / establishment of key strategies in advancing economic development
Qatar Foundation for Education, Science and Community Development provided Budget

- QF provides the full cost of operations plus a management fee that goes directly to VCU Richmond, **$3.9 Mil. this year.** This year we received a flat $40.5Mil Budget for the 3rd year in a row.
- We submitted additional special request for $2.8 Mil to cover 20th Anniversary, Research Center feasibility study, among other initiatives
- We receive the smallest budget of other branch campuses. In 2013-14 according to a Washington Post article the figures were reportedly: VCUQ-$41.8M, WCMCQ- $121.7M, TAMUQ-$76.2M, CMUQ-$60.3M, GUQ-$59.5M, NUQ $45.3M or about $404Mil, and they have since added University College of London for Museum Studies, and HEC Paris for MBA studies, bringing the total annual expenditure close to $500Mil. [https://www.washingtonpost.com/news/grade-point/wp/2016/03/08/texas-university-gets-76-million-each-year-to-operate-in-qatar-contract-says/?utm_term=.b27df72e5b05](https://www.washingtonpost.com/news/grade-point/wp/2016/03/08/texas-university-gets-76-million-each-year-to-operate-in-qatar-contract-says/?utm_term=.b27df72e5b05)

QF Ecosystem

In QF alone there are 9 universities, a number of feeder schools, 12 entities supporting research, and 7 ventures. There are also a number of nonprofit humanitarian entities all providing a rich environment for collaboration.

**Research Ecosystem**
- QScience
- Qatar Science & Technology Park
- Qatar Computing Research Institute
- Qatar Biomedical Research Institute
- Qatar Cardiovascular Research Center
- Qatar National Research Fund
- Sidra Medical & Research Center
- Qatar Environment & Energy Research Institute
- Qatar Solar Technologies
- Qatar BioBank
- Qatar Green Building Council
- Qatar National Library

**QF Ventures**
- MEEZA
- Vodafone Qatar
- Qatar Diabetes Association
- Qatar Career Development Center
- Hamad Bin Khalifa University Press
- Stars of Science
- Doha International Family Institute

*Notes continue on the following page.*
In addition, we have established partnerships with the following entities:

- We have a number of partnerships already, the strongest of which are with Qatar Museums, the US embassy, and the W hotel, where our partnership is helping these institutions achieve their goals by relying on our knowledge base and students.
- Stars of science use of innovation media lab
- Athar design and QSTP use of Materials lab
- US Embassy Young Writers forum
- Doha Cultural Forum- Msheireb retail space design
- Qatar Museums- 2 designs for national museum indigenous aesthetic café and Reading Café on Corniche—

**Graphic Design students complete real world projects with community partners:** Graphic Design Juniors completed their five week collaborations with outside partners: Qatar Museum’s Qatar Germany 2017 year of culture; Qatar’s Supreme Committee for Delivery and Legacy (Qatar 2022) visual identity and branding systems development; Qatar Museum’s Publications children’s books development; and, Qatar International Golf Club children’s engagement and education programming. The four teams, mentored by Department of Graphic Design Interim Chair Peter Martin, successfully presented and delivered conceptual research and prototypes to each of these community partners. Some students proceeded to complete summer internships with these partners. Not only have these collaborations with external partners provided the student’s with real situational experience and the development of professional networks that come with this, but they have also permitted the students to begin making an impact on the development of Qatar's coming visual landscape.

Full list of our current partnerships:

**Qatar Foundation Universities and Directorates**
- HBKU
- Mathaf Museum
- Msheireb properties
- Northwestern University, Qatar
- Qatar Foundation Research and Development
- Qatar International Golf Club
- Reach Out to Asia
- Texas A&M Qatar
- University College London, Qatar
- Weill Cornell, Qatar
- Qatar Smart Art initiative
- Qatar Dynamic Digital History Portal
- Stars of Science
- QSTP

**Businesses and Nonprofits**
- Astad Project Management
- Athar Design, London
- Avantguarde Design
- Azadea Group
- Brand Union, Dubai
- Dar Al-Sharq
- Ezdan Holding
- Fashion Designer Rami Ali
- Injaz Qatar
- Qatar Development Bank
- W Hotel
- Wajha

**Universities and Educational Institutions**
- El Minia University, Egypt
- Georgia Institute Technology
- Local K-12 schools
- Northern Illinois University
- Oriental Institute, Academy of Sciences, Czech Republic
- Qatar University
- READ Nepal
- University of New Mexico
- University of Texas, Austin
- VCU-Richmond
- Zayed University, Dubai
- Kyoto University of Art and Design
- University of the Arts in Berlin
- NTI Singapore
- University of North Texas
- École Nationale d’Architecture

**Government entities and embassies**
- Ministry of Education and Higher Education
- Ministry of Transportation
- Qatar Museums
- Supreme Committee for Legacy and Delivery (2022 FIFA Games)
- Supreme Education Council
- Swedish Embassy in Qatar
- U.S. Embassy in Qatar
- Japanese Embassy in Qatar
- South African Embassy in Qatar
Our recent NASAD accreditation highlighted the fact that we have strong academic programs with several areas that can act as a model for VCUarts, particularly our community education program, our team spirit and promotion of innovation.

Strengths

- Publications and promotional materials are innovative, cutting edge, abundant and appropriate to the audience; a strong brand identity without sacrificing spontaneity
- Excellent facility impeccably maintained with excellent support facilities, especially the FAB lab and Materials library, and which creates community by providing for cross disciplinary and informal conversations among student and faculty; with easy access for students
- Good dedicated work spaces for students in BFA
- Abundant enrichment opportunities for students, including international field trips, travel stipends, visiting artists and lecture programs, museum internships
- A Foundation program that is attuned to preparing freshmen equally for all majors
- Community outreach program with diverse course offerings and audiences
- Successful placement of BFA Painting and Printmaking graduates in residencies in the Firehouse Station
- Majority of undergraduates consider graduate school
- Beautiful library that serves student and faculty needs and is developing a unique collection of Qatar and regional artists’ books
- Dynamic and active student organization
- Good process for annual reviews conducted regularly, documented, and include feedback
- Governance structure incorporates regular meetings among faculty and administration
- Approach to Health and Safety ensures students are trained, pass an exam, and get certified which is consistent across the school and is respected by students
- Small classes facilitate student learning and individual growth
- Relative isolation in a developing country has resulted in team spirit and an environment that promotes collegiality and provides a locus for innovation.
• This year we graduated our 625th graduate. That is 625 creative innovators who have or will go on to start businesses and be productive members of society. In our global world where production and innovation are the keys to sustainable development, we can say that our graduates are not merely consumers, they are on the cutting edge of creating the collective future of their countries.

• Here is the program data breakdown, we grant the most degrees in Fashion Design and Graphic design, followed by Interior Design, our MFA in Design, Art History and Painting and Printmaking.

• 40 % of our graduates graduate with honors: 11 graduated Cum Laude; 12 graduated Magna Cum Laude; and two graduated Summa Cum Laude

• Our graduation rate over the last 5 years has increased, with a current overall graduation rate of 78%. 60% of our graduates finish in 4 years, 76% finish in five.

• Through this year’s recruitment efforts, 935 students expressed direct interest in VCUQatar, and 422 were deemed viable candidates for the Fall 2017 intake. As a result, a total of 348 prospects initiated applications for undergraduate admissions (257 to BFA; 91 to BA), 209 effectively applied (146 to BFA; 63 to BA), and 192 sat for admissions tests (135 to BFA; 57 to BA).

• Fall 2017 undergraduate applications from Qatar citizens have increased significantly – 10% as compared to Fall 2016. The pool of Qatar citizen undergraduate applicants stands at 123. It is the largest pool of Qatar citizen undergraduate applicants in a five year-period. In addition, Fall 2017 graduate applications have increased 47% to date as compared to Fall 2016.
This graphic describes our holistic approach to teaching research and service, focused on the integration of arts/design and research into traditional stem fields to drive innovation and entrepreneurialism.
Some of our stream related initiatives include:

- Art and Medicine collaboration with WCMC-Q
- Wearable cooling engineering-fashion for Qatar’s workers
- Qatar Foundation Dynamic Digital History Portal-integrates technology with graphic design and art history
- 3D clay printing for MFA- integrates technology and engineering with traditional materials and art making
- Wearable solar devices: collaboration with Qatar Solar Technologies, TAMU-Q, and Qatar Museums-integrates engineering, science and fashion design
- Stars of Science at Innovative Media Studio
- Athar Design with QSTP and Materials Library

Additional examples include:

- Diane Derr’s Research on audio frequency of galactic gas density, art and science
- Johan Granberg’s Research presented at HETIS on how the Japanese art of repairing crafted objects can contribute to engineering, technology and innovation for sustainable growth, art and science
- Khaled Saoud’s presentation at HETIS on nanotechnology and sustainable development
- Cherif Amor’s Research on neuroscience and design, art and science
- Peter Martin’s Design workshop at Weill Cornell Medicine Qatar’s Building Capacity in Healthcare Professions Symposium

We contribute to being a premiere research university through our grants and internationally significant research and exhibitions:

- In the last 6 months our faculty have presented, exhibited or had their research had significant exposure in 25 cities in 16 countries.
- We solved the QNRF gridlock and were able to submit grants to QNRF for the first time in three years. For the National Priorities Research Fund, faculty members Ryad Ghanem, Khaled Saoud, and Diane Derr all submitted grants that total $1.2Mil, and through collaboration with TAMUQ and Qatar University, Haitham El-Hemalli and Mohammed Suleiman and Khaled Saoud submitted additional grants worth $100K to VCUQatar. In addition, Nathan Davis submitted a UREP grant.

Notes continue on the following page.
• Basma Hamdy’s work published in Islamic World of Art magazine
• Nathan Davis spoke at UNESCO conference on Encouraging Dialog and diversity through cultural industries
• Jörg Matthias Determann’s research has continued to receive great recognition. Umm Al-Qura University in Mecca put Historiography in Saudi Arabia (I.B.Tauris) on top of its list of “key references” on the kingdom. The book thus ranked above the publications by Saudi and other Arab authors. The list was published as part of the celebrations of Saudi National Day 2016. Determann was also interviewed about his research for Oxford Islamic Studies, while his second book, Researching Biology and Evolution in the Gulf States received positive reviews in the Journal of Arabian Studies, the Middle East Journal, and Middle East Media and Book Reviews online.
• Michael Hersrud collaborated with Rhys Himsworth, Amy Andres, Dr. Alan Weber, & Dr. Stephen Scott to edit and design a book titled Art & Medicine: A collaborative project between Virginia Commonwealth University Qatar & Weil Cornell Medicine Qatar
• CAA presentations:
  • Dina Bangdel, “Teaching Global Art History to Non-Majors: Narratives from the ‘Periphery;”
  • Holiday Powers “Transmission as resistance in the work of Zeineb Sedira in the session on Feminist Temporalities and art histories in MENA;”
  • Debra Hanson,“There/Not There: Presence and Absence in Monet’s Portrait of Camille on her Deathbed.”
  • Radha Dalal and Jochen Soloky co-chaired a panel: “Syria Now: Architectural, Artistic, and Cultural Heritage in Peril.”
  • Sean Roberts was elected the President of the Italian Art Society
  • Radha Dalal serves on the Diversity Committee of CAA's Professional Committees.
Recent Student Success

- **Students win design competition focused on social change in a bilingual context**: Wajha, an independent social initiative that uses design and branding knowledge to help local communities in the Arab Region by offering design services for free. The competition was announced in December, 2016 and the guidelines invited designers to find a shop that needed a new design, but could not afford design expenses.

- **Five Graphic Design students win brand design competition** One junior and four sophomore graphic design majors (Maryam Al-Malki, Latifa Al Kuwari, Kamla AlSulaiti, Sara Alafifi, Sarah Aweida) won a design competition sponsored by Qatar’s Ministry of Transportation and Communication. The winning design for the branding of the “Smart Nation Project, TASMU”

- **Students win best and most innovative project at Avantgarde Design Competition** Hissa Alhail and Sara Mashhadi were selected as the recipients of the best and most innovative project. The award winning team will have the opportunity to experience the design versatility of Avantgarde Design principles and tendencies, including travel to Germany for an internship at Avantgarde Design’s offices.

- **Student nominated for Education Excellence Award**: Aisha Al Mohannadi, has been nominated for the Education Excellence Award, through the Ministry of Education and Higher Education for her paper, “Feminism Should Prioritize a Focus on Equity and Fairness

- **MFA student exhibits work at London Modest Fashion Week**

- **Students work showcased at Diffrazioni Multimedia Festival in Florence**

- **Student engineers new musical instrument for MFA Thesis**

- **Students design stage for QF Research Conference**

*Notes continue on the following page.*
Innovative Pedagogy drives our student success

- Students shadow artists in residence, the Iglesias sisters at Fanoon Center for Printmedia Research
- Student designed Interactive portal with Richmond Campus for Tasmeem
- Mural for the student lounge for “Sophomore Design Technology”
- Student artwork on ethics of genetic engineering for “Science in Society: Values, Ethics, and Politics”

- **Design Competencies in Collaboration (DESCO) Model** developed and implemented in graphic design undergraduate classroom collaborations. Denielle Emans and Basma Hamdy presented and did workshop at National AIGA Design Conference in Las Vegas.
  - **Cross continental Studio**: Liam Colquhoun and Mayassa Al Mumin’s research presentation “Face to Face: Conducting a cross continental design studio In Chicago at the Interior Design Educators Council Conference
  - **Contextually relevant Math Learning**: Summer Bateiha, Ryad Ghanem, and Zayed Bateiha, engaged in and disseminated research that explored conceptual understanding through small social networks in their elementary algebra course. Presented at American University of Beirut’s Inter-regional Research Conference on Science and Mathematics Education
  - **Program evaluation and design for social change**: research by Denielle Emans presented at International Committee for Design History & Studies 10th Conference: Making Trans/National Contemporary Design History in Taipei, Taiwan
  - **Interdisciplinary International service learning**: Leland Hill’s research, “Expanding the Walls of Design Education,” was presented and published at the 2017 DAKAM International Conference on Design Studies, Fields and Method Studies in Istanbul, Turkey.
  - **Interior Design explores learning as research bridging lecture and studio courses**
  - **Experimental Printing Elective informed by Michael Hersrud’s research**
  - **Art Foundation blends boundaries of studios**
  - **Artist Book Studio integrates Printmaking and Graphic Design**
  - **Basic Fabrication Techniques and Graphic Design taught to drive product design innovation**
  - **Interdisciplinary Eco Arts class explores environmental activism in MENASA Region**
Our students are trained to be critical thinkers and creative problem solvers, and so have a lot to offer almost any field. They get a firm grounding in the liberal arts in addition to their technical skills as designers and artists.

Our Alumni work in nearly every sector, from oil and gas, to media, museums, education, public sector, nonprofit humanitarian, hospitality and tourism, construction and property management, banking, fashion, health and wellness etc. Other alumni are employed at:

- **Museums and culture**: Qatar Museums (Childrens, Museum Islamic Art, Mathaf), Doha Film Institute, Innovation Films
- **Construction and project management companies**: EGEC, ASTAD, Msheireb Properties, Qatari Diar Real Estate Investment company, Al Naqi Group, AEA Designs, ASAAS Oman
- **Oil and Gas**: RasGas, Qatar Petroleum, Woqod, ConocoPhillips Qatar
- **Banking**: QNB, QDB
- **Qatar Government**: Ashghal Public Works Authority, Ministry of Foreign Affairs, Supreme committee for delivery and legacy, Ministry of Public Health, Ministry of Municipality and Urban Planning,
- **Media**: Al Jazeera (Childrens, Media group), Beln (sports, Media group)
- **Social Development**: Reach out to Asia
- **Education**: VCU (Hawa Swodah Assistant Prof. Fashion Design), VCUQatar (2 Qatari professors), Qatar University, Qatar Foundation, HBKU, TAMUQ, Doha Institute for Graduate Studies, Teach for Qatar, Jordanian School Qatar, Doha International School
- **Health and Wellness**: Anytime Fitness
- **Design Companies**: Artline R+M Associates, Asterism studio, QSL, Yellow Window, INC Qatar, Bluu Qatar, Kalimat, Alamah, Royal Court Affairs, Fashion: Tenuta, Daleen Alkhatib Holding
- **Transportation and tourism**: Qatar Airways, Qatar Olympic committee, Solutions Leisure Group,

*Notes continue on the following page.*
Entrepreneurs: We have a significant number that have gone on to become entrepreneurs, starting their own fashion labels or design firms. Currently we have a robust internship program built into most of our programs so that when they graduate, students already have work experience and have made industry connections.


- Prestigious MFA programs: This year our students got into Museum Studies at UCL Qatar, MFA in Print at the Royal College of Art in London as well as Emily Carr University in Canada, the MS in Design and Urban Ecologies at Parsons and the MPS in Interactive Telecommunications at NYU. Other Alumni have gone on to study at:
  - HEC Paris (Qatar)
  - Qatar University
  - Virginia Commonwealth University in Qatar
  - University College London in Qatar
  - Royal Academy of Art in The Netherlands
  - Edinburgh College of Arts (ECA) of the University of Edinburgh
  - University of the Arts London, Central Saint Martins
  - HEC Paris (France)
  - Savannah College of Art and Design
  - Rhode Island School of Design | RISD
  - School Of Visual Arts New York
  - Santa Reparata International School of Arts
  - Qatar Faculty of Islamic Studies | QFIS
  - Anglia Ruskin University of Cambridge
  - Duke University
  - Royal Academy of arts The Hague | KABK
  - University of Brunel London

- Humanitarian Work: In an international outreach and engagement effort, Interior Design faculty Maja Kinnemark and IDES alumna Teekshani Perera were invited to participate in an exclusive Humanitarian Design Conference that gathered 25 international architects, behavior scientists, material scientists, designers and engineers on Lesvos, Greece, the island that has received highest influx of refugees from war-torn Syria. They offered their expertise in a panel discussion that asked “how can innovative design and new technologies improve the situation of camp refugees?” During the conference, attendees met with different clients such as Better Shelter and Alpinter providing sheltering in camps, and 15 individual experts within the humanitarian field; representatives from rescue teams from Emergency Response Centre International, representatives from NGO’s providing health care, education, food and shelter and representatives from Industry providing UNHCR’s Core Relief items. The participants interacted with people of concern on site at Kara Ta Pe Hospital Centre, a refugee camp in Mytilini, and had a day of field work in the camp studying how innovative people are in utilizing their limited belongings in order to establish a sense of home.

- Exhibitions: For the past two years, alumni have exhibited their work at the Santa Cruz Biennial in Bolivia.
In conclusion, VCUQatar has become a key contributor to all three of VCU’s strategic plan theme areas.

It contributes to the Distinctiveness of VCU - our art school is one of the only ones in the region, giving us unprecedented visibility in this area of the world. It helps VCU stand out, which as President Rao mentioned in his 2015 State of the University Address, is the key to its success. He identified:

- Diversity, which we certainly contribute to through our vibrant student exchange programs, faculty interactions and unique position in the MENA region,
- a vibrant urban environment, something we demonstrate that we can contribute anywhere we go, especially here in Qatar where our students and alumni are populating the city with art, businesses, and innovation through design thinking,
- access, something we demonstrate even here with the lowest tuition and a highly diverse faculty and staff, including giving access to the professor profession to Qataris themselves, and
- making it real: here it is blatantly clear that we are making Qatari students have a real impact on their country, through founding businesses and creatively imagining the future of Qatar. Plus, the $3.6Mil annual management fee does a lot for making Richmond area aspirations come true.

In this years address, President Rao pointed out that VCU does the difficult thing of making a difference, acting as the engine of innovation and entrepreneurialism. We believe that VCUQatar demonstrates the strength of this promise, showing how the VCU model and priorities can contribute and shape any environment it enters into. After 20 years, we have ample evidence to show VCU can have an impact on a global scale.
Additional Reading:


• Discovery World Video: Waterfront Cities of the World: [https://www.youtube.com/watch?v=00k4FcydjOs](https://www.youtube.com/watch?v=00k4FcydjOs)

• Anderson, N. “In Qatar’s Education City, U.S. colleges are building an academic oasis” Washington Post, December 6, 2015: [https://www.washingtonpost.com/local/education/in-qatars-education-city-us-colleges-are-building-an-academic-oasis/2015/12/06/6b538702-8e01-11e5-ae1f-af46b7df8483_story.html?utm_term=.7b173a5db90b](https://www.washingtonpost.com/local/education/in-qatars-education-city-us-colleges-are-building-an-academic-oasis/2015/12/06/6b538702-8e01-11e5-ae1f-af46b7df8483_story.html?utm_term=.7b173a5db90b)

Ph.D. in Chemical and Life Sciences Engineering
Virginia Commonwealth University
Board of Visitors
Academic and Health Affairs Committee
Proposed Program Brief

Proposal to create a new Ph.D. in Chemical and Life Science Engineering

Overview
The VCU School of Engineering requests approval to create a Doctor of Philosophy (Ph.D.) degree in Chemical and Life Science Engineering (CIP Code 14.07). The proposed Ph.D. program is designed to
- Meet Virginia’s growing private-sector demand for engineers and scientists with doctoral-level training in chemical and life science engineering, and allied fields such as pharmaceutical and chemical processes, materials science and engineering, cellular engineering, and chemical engineering applied to biological systems and biomolecular processes; and
- Meet the national need for engineers and scientists with doctoral-level training in chemical and life science engineering for employment in the academic (future faculty), industrial, and federal government sectors.

The proposed Ph.D. program will train graduates for careers in industry, technical administration, and academia. It will address the growing demand for researchers trained in interdisciplinary science and engineering, who recognize the need for cross-disciplinary approaches to solving complex problems in energy, healthcare, and sustainable manufacturing.

Method of Delivery
The proposed program will be delivered in a traditional, face-to-face modality.

Target Implementation Date
Fall 2018

Demand and Workforce Needs
The primary motivation for the proposed Ph.D. program is the high demand from employers and students for graduate training opportunities. The Virginia Biotechnology Association (VABio) estimates that the biopharmaceutical sector accounts for 11,000 direct jobs, and a payroll of approximately $1 billion per year.¹ It creates another 25,000 jobs in Virginia indirectly in the companies and professionals in service and support of the sector. Graduates with backgrounds in life science and engineering form a key pipeline for this sector. Studies conducted by both the American Society for Engineering Education and the National Science Foundation reported a shortage of graduate level engineers in the United States. The unemployment rate for graduate level engineers is among the nation’s lowest.²

Thus, the regional and nation-wide demand for engineers with advanced degrees is strong and is anticipated to remain strong in the coming years. **Whether in academic research or industry, the discipline-specific degree is expected to enhance the marketability of our graduates and will address a current and future need for chemical and life science engineers.**

External Competition
This unique, forward-looking program does not duplicate any other graduate program in Virginia. In particular, emphasis areas on interdisciplinary pathways such as life science engineering, chemical kinetics and process engineering, materials science engineering coupled with a core training in chemical engineering fundamentals is a truly unique program of its kind, not just in the Commonwealth but nationwide. This degree is therefore distinctive and timely given the projected jobs outlook for the future and the engineering talent pool needs facing the Commonwealth.

Target Population

¹ [https://www.vabio.org/?page=overview](https://www.vabio.org/?page=overview)
The target population for the Chemical and Life Science Engineering Ph.D. program is students with a B.S. or M.S. degree in chemical engineering or an allied field such as materials science, petroleum engineering, biochemical engineering and engineering physics. According to the United States Department of Labor, a considerable amount of work-related skill (for example, manufacturing processes, equipment design, analytical equipment), knowledge (principles of chemistry, biology, physics, and mathematics), and experience are needed in chemical engineering and allied fields. Sixteen percent (16%) of chemical engineers reported that a master's degree was required for their positions, with 20% of respondents reporting that a doctoral degree was required for their positions.

**Impact on Existing Programs**
No negative impact is anticipated. In fact, with this stand-alone Ph.D. program, we expect research successes to expand with diverse and talented students and professional researchers to complement our growing academic programs within the School of Engineering.

**Impact on Faculty**
All faculty in the Department of Chemical and Life Science Engineering faculty have responsibilities for both graduate and undergraduate academic programs, and all department faculty spend portions of their time conducting research and performing service to the school, university and their respective professions. We do not anticipate the need to hire additional faculty for this program.

**Funding**
Additional funding is not required.

**Benefit to the university**
This proposed Ph.D. program is consistent with VCU’s vision as Virginia’s premier urban, public research university. The proposed program will notably advance two of the themes from VCU’s strategic plan, Quest for Distinction:

- **Theme II**: Attain preeminence as an urban, public research university by making contributions in research, scholarship, creative expression and clinical practice to advance knowledge and enhance the quality of life.
- **Theme III**: Achieve national recognition as a fully integrated research university with a commitment to human health.

The proposed Ph.D. in Chemical and Life Science Engineering program is consistent with the mission of the university by providing graduate students with learning opportunities for acquiring a broad foundation of engineering knowledge; an in-depth original research experience at the frontiers of the chemical and life sciences; and life-long learning and professional development skills.

**Next Steps**
With BOV approval, this proposal will be submitted to the State Council of Higher Education in Virginia (SCHEV) for final approval.

**Full Proposal**
Available in supplemental agenda book.

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3 https://www.onetonline.org/link/summary/17-2041.00 (O*NET OnLine is sponsored by the U.S. Department of Labor)
5 http://www.quest.vcu.edu/
Ph.D. in Pharmaceutical Engineering
Proposal to create a new Ph.D. in Pharmaceutical Engineering

Overview
The Schools of Pharmacy and Engineering at Virginia Commonwealth University (VCU) request approval for the establishment and implementation of a new Pharmaceutical Engineering Ph.D. degree. The program is to be jointly administered by the two schools. The purpose of the Ph.D. degree program is to train students in pharmaceutical engineering concepts related to the design, development, manufacture and regulation of pharmaceutical products and devices. It will address the growing need for a new generation of researchers trained in cross-disciplinary and interdisciplinary science and engineering who recognize the need for a team-based approach to solving challenges related to the design and manufacturing of pharmaceutical products. Graduates of the program will be trained to recognize and address challenges in the pharmaceutical, regulatory, entrepreneurial and academic environments.

This first in the nation Ph.D. program in Pharmaceutical Engineering will take a structured approach towards the cross-disciplinary nature inherent to the area, taking into account the needs of the employer base and market opportunities within the region and the Commonwealth of Virginia, and also the expertise existing at VCU. This program is unique and does not exist in the Commonwealth, region or nation. 1

This program is built on existing partnerships and teamwork among departments, disciplines, and research teams in both schools, as well as reaching out to other departments and schools including chemistry, medicine, the VCU Center for Clinical and Translational Research, and the VCU School of Business. The proposed approach to education and research will uniquely address one of the key issues in the pharmaceutical and related regulatory professions, namely, that the challenges are almost always cross functional in nature, but the traditional education paradigm and training offered to those entering the market today is not. The program aims to break that paradigm via our interdisciplinary approach towards the Ph.D. degree and prepare VCU graduates for excellence in academia, the pharmaceutical and biotech industry and governmental and regulatory agencies.

Method of Delivery
The proposed program will be delivered in a traditional, face-to-face modality.

Target Implementation Date
Fall 2018

Demand and Workforce Impact
According to a report prepared by the VCU Office of Continuing and Professional Education, “An advanced demand report through Labor Insight™ reveals that Virginia is number 7 among the Top 15 states in the U.S. in the last 12 months hiring for pharmaceutical engineers. Labor Insight™ pulled 143 job postings in the last 12 months across the state of Virginia for job titles labeled specifically as pharmaceutical engineering or pharmaceutical engineer. There is a strong concentration of these jobs in the state, with a much higher demand than average. The Washington-Arlington-Alexandria, DC-VA-MD-WV Metropolitan Statistical Area (MSA) was the fifth largest hiring region in the country with 142 postings, and the Richmond, VA Metropolitan Statistical Area (MSA) was tenth with 54 postings over the last 12 months.”

The program therefore will be targeting an area of hiring where job growth is higher than the national average, and where the proposed Pharmaceutical Engineering Ph.D. can serve as an important catalyst for the region and for the Commonwealth of Virginia, and one that will originate from VCU enhancing our societal impact and visibility.

External Competition
There is no similar program, at any degree level, within the Commonwealth of Virginia. This is due to the unique partnership between the School of Pharmacy and School of Engineering to support this plan. Currently there are no such

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1 Several schools have an Engineering Ph.D. with a track in pharmaceutical engineering; however, this would be the first Pharmaceutical Engineering Ph.D. program in the U.S.
2 Labor Insight™ | Burning Glass Technologies, October 2016
collaborative programs at the Ph.D. level in any other universities outside of Virginia but this potential does exist at several institutions. Teaching, research and industry trends are likely to encourage other schools to embark on such a higher level program. The proposed program has been designed to be distinct from the other related VCU programs. These distinctions include excellence in the key areas of generation and control of active ingredients, drug delivery, nanomedicine and biomaterials, and formulation engineering and sciences.

**Target Population**
The program will target individuals who wish to pursue an academic or pharmaceutical research career and have an interest in pharmaceutical engineering. Specifically, the program will target:

- Students with an appropriate B.S. degree in relevant subject areas, such as pharmacy, biology, chemistry, mechanical engineering, biomedical engineering, chemical engineering, and materials science.
- Students with an appropriate M.S. degree in relevant subject areas, such as pharmacy, biomedical engineering or chemical engineering
- Doctor of Pharmacy (Pharm. D) graduates who wish to pursue an academic research career

Considering that both the Chemical and Life Science Ph.D. and Pharmaceutical Engineering Ph.D. programs are progressing for SCHEV review, it is important to acknowledge that there will be some overlap in the target populations for these two programs. This is not unexpected given that students will have interest in either program depending on their intended career goals. Other existing Ph.D. programs such as chemistry, and biology also draw from this population. Both the Pharmaceutical Engineering and Chemical and Life Science Ph.D. programs will seek to bring a national and international student population to the state of Virginia and are thus targeting an audience that is much broader than that sampled at VCU.

**Impact on Existing Programs**
The Pharmaceutical Engineering Ph.D. program will be an interdisciplinary and collaborative program, drawing from the knowledge and research interests of Ph.D. programs in VCU’s School of Engineering and School of Pharmacy. The Pharmaceutical Sciences Ph.D. programs in medicinal chemistry and pharmacetics are in the School of Pharmacy; the Biomedical Engineering and Mechanical and Nuclear Engineering Ph.D. programs and the proposed Chemical and Life Science Ph.D. in the School of Engineering. The proposed Pharmaceutical Engineering Ph.D. will be the collaboration space where the areas of research and expertise from these Ph.D. programs will be able to work together. Taken together, this collaboration will complete the educational framework to position VCU and the Commonwealth as a leader in education and innovation in the Pharma and Biopharma field.

**Impact on Faculty**
All faculty will be shared with existing degree programs from the Schools of Engineering and Pharmacy, with home departments being those existing programs, including Pharmaceutics, Chemical and Life Science Engineering, and others.

**Funding**
Both the Schools of Pharmacy and Engineering will use existing resources to ensure that the program is staffed with appropriately credentialed and experienced faculty. There are ongoing discussions at the university level regarding necessary facilities renovations, didactic equipment and future faculty hires and support staff. These discussions will be managed within the existing institutional budget. Therefore, no new state funds are being requested.

**Benefit to the University**
This proposed Ph.D. program is an integral part of of VCU’s mission, vision and core values. The program seeks to promote scholarship and collaborative research among its faculty and students, which will lead to entrepreneurial activities, leadership and innovation in the area of pharmaceuticals and related medical therapies so as to promote human health and bring further distinction to VCU The program completes and integrates the pharmaceutical education and research workflow along with the related proposed Chemical and Life Science Engineering Ph.D. program and existing programs such as Biomedical Engineering Ph.D., Pharmaceutical Science Ph.D. concentrations, Medicinal Chemistry and Pharmaceutics.

**Next Steps**
With BOV approval, this proposal will be submitted to the State Council of Higher Education in Virginia (SCHEV) for final approval.

**Full Proposal** - Available in supplemental agenda book.
Approval of recommendation to rename the Center for
Proposal to change the name of the Center for Teaching Excellence

Overview
The VCU Office of Faculty Affairs requests approval to change the name of the chartered faculty development unit for VCU from the Center for Teaching Excellence (CTE) to the Center for Teaching & Learning Excellence (CTLE). The mission of the CTLE will remain true to that of the CTE – to promote, enhance and assess teaching effectiveness and student learning through faculty development.

Background
The Center for Teaching Excellence (CTE) was chartered by the Board of Visitors in 2001. In 2014 the CTE informally merged with Online@VCU to create ALT Lab. Although never chartered, ALT Lab’s mission moved away from faculty development and the leadership was, subsequently, disbanded in 2016. The CTE was not formally dissolved with the creation of ALT Lab, but is not currently listed on the Office of Research & Innovation list of institutes and centers.

In summer 2016, a director of teaching and learning excellence was appointed and charged with developing a plan to revamp the CTE and ensuring broad faculty involvement.

Rationale for name change
Changing the name of the former CTE to the CTLE will
- help recreate a visible faculty development unit; and
- help further VCU’s mission and strategic plan through faculty development programs and continue faculty support through the Office of Faculty Affairs.

Target Implementation Date
August 2017

Demand and Impact on Faculty
Strategic planning for the new center commenced throughout the 2016-2017 academic year under the leadership of the Office of Faculty Affairs. Faculty from every rank across the university were invited to participate in a multi-dimensional strategic planning process. The response was overwhelmingly positive, and the input for its strategic direction was robust. A cohort of faculty organized suggestions and comments and developed a clear strategic direction for the new center for immediate and long-term actions. Upon the launch of this unit, faculty throughout the university will have access to programs, events, services and resources to further their development and advance student success.

Funding
No additional funding is required. The CTLE will be housed in the Academic Learning Commons, 1000 Floyd Ave., in the space previously occupied by ALT Lab.

Benefit to the university
The CTLE aligns with VCU’s mission and strategic plan: The CTLE strives to advance VCU’s mission and strategic plan through strategic alignment of its faculty development activities and goals related to teaching and learning excellence. Initial alignment efforts include: Faculty consultations, Teaching & Learning Digital Resources, Workshops, New Faculty Orientation & Academy, resources on inclusive teaching, piloting various scholarly teaching efforts within and across disciplines. (Themes 1, 2, 3).

Next Steps
No additional approvals are needed.
**Board of Visitors Executive Summary**  
**May 2017**

<table>
<thead>
<tr>
<th>PRESENTATION TITLE:</th>
<th>Audit, Integrity, and Compliance Committee Charter and Meeting Planner Update</th>
</tr>
</thead>
<tbody>
<tr>
<td>Presenter Name and Title:</td>
<td>Bill Cole, Executive Director</td>
</tr>
<tr>
<td>Responsible University Division:</td>
<td>Audit and Compliance Services</td>
</tr>
<tr>
<td>BOV Committee:</td>
<td>Audit, Integrity, and Compliance Committee</td>
</tr>
</tbody>
</table>

**Quest Theme(s) and Goal(s) to be Addressed:**

<table>
<thead>
<tr>
<th>Key Presentation Messages</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. The committee charter and meeting planner is updated annually in May.</td>
</tr>
<tr>
<td>2. The Audit, Integrity, and Compliance Committee will need to review and approve the charter.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Governance Implications</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Ensure that the committee charter accurately reflects the committee’s duties and responsibilities.</td>
</tr>
<tr>
<td>2. Ensure that the committee is informed on relevant matters affecting audit and compliance, data integrity, and legal matters.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Governance Discussion Questions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. What are the potential risks associated with IT infrastructure and data governance?</td>
</tr>
<tr>
<td>2. Are there any significant audit risks for the committee to consider?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Next Steps for Management (Responsible Division Head; Timeframe for Action)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Continue to maintain resources for a secure IT infrastructure that provides timely and useful information and data to the users, management, and the Board.</td>
</tr>
<tr>
<td>2. Continued support to the Enterprise Risk Management program.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Next Steps for Governance (Responsible Board Member; Timeframe for Action)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Receive reports from management on current efforts affecting data security and data integrity in institutional reporting.</td>
</tr>
<tr>
<td>2. Receive updates on audit and compliance services, ERM program, and legal matters.</td>
</tr>
</tbody>
</table>
VIRGINIA COMMONWEALTH UNIVERSITY
BOARD OF VISITORS

AUDIT, INTEGRITY, AND COMPLIANCE COMMITTEE CHARTER

I. PURPOSE

The primary purpose of the Audit, Integrity, and Compliance Committee is to assist the Board of Visitors in fulfilling its fiduciary responsibilities related to oversight of:

- Soundness of the university’s system of internal controls
- Integrity of the university's financial accounting and reporting practices
- Independence and performance of the internal and external audit functions
- Integrity of information technology infrastructure and data governance
- Effectiveness of the university’s ethics and compliance program
- Institutional conflict of interest issues
- University’s enterprise risk management program
- Legal matters

The function of the Audit, Integrity, and Compliance Committee is oversight. University management is responsible for the preparation, presentation, and integrity of the university's financial statements. University management is also responsible for maintaining appropriate financial accounting and reporting policies, procedures, and controls designed to assure compliance with generally accepted accounting principles and applicable laws and regulations. University management is also responsible for effective design, implementation, and operation of information technology infrastructure as well as data management and data governance policies and procedures.

Audit and Management Services, within Audit and Compliance Services, examines and evaluates the adequacy and effectiveness of the university's system of internal controls; examines whether university operations and employee actions are conducted in compliance with relevant policies, procedures, standards, and applicable laws and regulations; and performs management services activities, including advisory services for critical systems development projects, performance of special projects requested by the Board and senior management, and investigation of allegations of fraud or improprieties. The university's external auditor, the state Auditor of Public Accounts, is responsible for planning and conducting the financial statement examination in accordance with generally accepted government auditing standards.

The Integrity and Compliance Office, within Audit and Compliance Services, promotes a culture of ethics and compliance through training, support and guidance; evaluates the adequacy and effectiveness of existing policies, procedures, and compliance programs; administers the University Helpline and maintains other reporting mechanisms available to all employees, and reports information related to the Ethics and Compliance Program effectiveness throughout the year. University management is responsible for establishing and
enforcing policies and procedures and for maintaining appropriate programs to comply with all applicable laws and regulations. The Integrity and Compliance Office is a resource available to all areas of the university.

II. COMPOSITION AND INDEPENDENCE

The Audit, Integrity, and Compliance Committee will be comprised of three or more Visitors. Each member must be free from any financial, family or other material personal relationship that, in the opinion of the Board or Audit, Integrity, and Compliance Committee members, would impair their independence from management and the university.

III. MEETINGS

The Audit, Integrity, and Compliance Committee will meet at least four times annually. Additional meetings may occur more frequently as circumstances warrant. The Committee chairman should meet with the Executive Director of Audit and Compliance Services as necessary and at least prior to each Committee meeting to finalize the meeting agenda and review the issues to be discussed.

IV. RESPONSIBILITIES

In performing its oversight responsibilities, the Audit, Integrity, and Compliance Committee shall:

A. General:

1. Adopt a formal written charter that specifies the Committee’s scope of responsibility. The charter should be reviewed annually and updated as necessary.
2. Maintain minutes of meetings.
3. Authorize investigations into any matters within the Audit, Integrity, and Compliance Committee’s scope of responsibilities.
4. Report Committee actions to the Board of Visitors with such recommendations as the Committee may deem appropriate.
5. Consistent with state law, the Committee may meet in closed session (without members of senior management present) with the external auditors and/or the Executive Director of Audit and Compliance Services to discuss matters that the Committee or any of these groups believe should be discussed privately.
6. Approve the Audit and Compliance Services charter. The charter should be reviewed annually and updated as necessary.

B. Internal Controls/Financial Statements:

1. Review and evaluate the university’s processes for assessing significant risks and exposures.
2. Make inquiries of management and the external auditors concerning the effectiveness of the university’s system of internal controls.
3. Determine whether the external auditors are satisfied with the disclosure and content of the financial statements, including the nature and extent of any significant changes in accounting principles.

4. Review management’s written responses to significant findings and recommendations of the auditors, including the timetable to correct the weaknesses in the internal control system.

5. Advise management and the external auditors that they are expected to provide a timely analysis of significant financial reporting issues and practices.

6. Monitor the university’s conflict of interest policies and related procedures.

7. Require Audit and Compliance Services to perform annual reviews of the President’s discretionary accounts and to issue a report thereon to the Committee.

C. **External Auditors:**

1. Meet with the external auditors and university management to review the scope of the external audit for the current year. The auditors should inform the Audit, Integrity, and Compliance Committee of any significant changes in the original audit plan.

2. Discuss with the external auditors their processes for identifying and responding to key audit and internal control risks.

3. Review the coordination of internal and external audit procedures to promote an effective use of resources and ensure complete and efficient coverage of the university’s risks.

4. Meet with the external auditors at the completion of the audit. A portion of the meeting may be conducted in Executive Session without members of university management present.

D. **Internal Auditors:**

1. Review and approve the annual audit and management services work plan and any significant changes to the plan.

2. Review annually the qualifications of the audit and management services staff and the level of staffing.

3. Assess the effectiveness of the internal audit function, including its independence and reporting relationships.

4. Review completed audit reports and progress reports on executing the approved work plan.

5. Review annually the status of previously issued internal audit findings.

6. Inquire of the Executive Director of Audit and Compliance Services regarding any difficulties encountered in the course of his audits, including any restrictions on the scope of work or access to required information.

7. Review the performance of the Executive Director in consultation with the President and approve the Executive Director’s annual salary compensation and bonus, if any.
8. Review and approve the appointment, replacement, reassignment, or dismissal of the Executive Director of Audit and Compliance Services.

E. **Data Integrity:**

1. Review the adequacy of the university’s IT management methodology with regards to internal controls, including applications, systems, and infrastructure. This includes but is not limited to:
   - Physical and virtual security with regards to university servers and storage
   - Network security architecture and operations
   - Reliability and robustness of data center (servers and storage) and network infrastructure environments
   - Disaster recovery and business continuity infrastructure and associated processes and procedures.

2. Review the adequacy of the university’s data management policies and procedures to ensure data security and data integrity in institutional reporting. This includes but is not limited to:
   - Authentication and authorization mechanisms in accessing university data
   - Data Governance structure and policies
   - Data security policies

F. **University Ethics and Compliance Program:**

1. Review the annual compliance planned initiatives and any significant changes to the plan.
2. Review the qualifications of the compliance staff and the level of staffing.
3. Assess the effectiveness of the compliance program, including its independence and reporting relationships.
4. Review completed compliance reports and progress reports on the status of compliance and integrity related initiatives including process and plans in place to assess conflict of interest management (inclusive of institutional and individual conflicts).
5. Require the Integrity and Compliance Office to report on management’s processes and procedures that provide assurance that the university’s mission, values, and codes of conduct, and universitywide policies are properly communicated to all employees.
6. **Review results of compliance reviews** to ensure system and controls are designed to reasonably ensure compliance with laws and regulations, university policies and the code of conduct. Review the university’s code of conduct annually and direct management to establish a system reasonably designed to reasonably assure compliance with the code.
7. Inquire of the Executive Director of Audit and Compliance Services whether there have been any restrictions on the scope of work or access to required information in conducting compliance and ethics reviews.
H. **Enterprise Risk Management**

1. Provide oversight of the university’s Enterprise Risk Management program.
2. Review the university’s risk appetite.
3. Require periodic reporting on the overall program’s design and effectiveness, including newly identified risks.
4. Monitor progress of Risk Mitigation Plans and review policy and resource improvements as necessary.

I. **Legal:**

1. Consult as necessary with University Counsel regarding legal issues concerning the university.
<table>
<thead>
<tr>
<th>A = Annually; Q = Quarterly; AN = As Necessary</th>
<th>Frequency</th>
<th>Planned Timing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q1, Q2, Q3, Q4 based on Fiscal Year (July – June)</td>
<td>A Q AN Q1 Q2 Q3 Q4</td>
<td></td>
</tr>
<tr>
<td>Sep</td>
<td>Dec</td>
<td>Mar</td>
</tr>
</tbody>
</table>

### A. General

1. Review and update Audit, Integrity, and Compliance Committee charter and meeting planner

<table>
<thead>
<tr>
<th>Frequency</th>
<th>Planned Timing</th>
</tr>
</thead>
<tbody>
<tr>
<td>X</td>
<td>X</td>
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</table>

2a. Approve minutes of previous meeting

<table>
<thead>
<tr>
<th>Frequency</th>
<th>Planned Timing</th>
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<tbody>
<tr>
<td>X</td>
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2b. Maintain minutes of meetings

<table>
<thead>
<tr>
<th>Frequency</th>
<th>Planned Timing</th>
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<tbody>
<tr>
<td>X</td>
<td>X</td>
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</table>

3. Authorize investigations into any matters within the Committee’s scope of responsibilities

<table>
<thead>
<tr>
<th>Frequency</th>
<th>Planned Timing</th>
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<tbody>
<tr>
<td>X</td>
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</table>

4. Report Committee actions to the Board of Visitors with recommendations deemed appropriate

<table>
<thead>
<tr>
<th>Frequency</th>
<th>Planned Timing</th>
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</thead>
<tbody>
<tr>
<td>X</td>
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</table>

5. Meet in executive session, with External Auditors and/or Executive Director of Audit and Compliance Services

<table>
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<tr>
<th>Frequency</th>
<th>Planned Timing</th>
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<tbody>
<tr>
<td>X</td>
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6. Review and approve Audit and Compliance Services charter

<table>
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<tr>
<th>Frequency</th>
<th>Planned Timing</th>
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</thead>
<tbody>
<tr>
<td>X</td>
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</table>

### B. Internal Controls/Financial Statements

1. Review and evaluate university’s process for assessing significant risks and exposures

<table>
<thead>
<tr>
<th>Frequency</th>
<th>Planned Timing</th>
</tr>
</thead>
<tbody>
<tr>
<td>X</td>
<td>X</td>
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</table>

2. Make inquiries of management and external auditors concerning the effectiveness of the university’s system of internal controls

<table>
<thead>
<tr>
<th>Frequency</th>
<th>Planned Timing</th>
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<tbody>
<tr>
<td>X</td>
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3. Determine whether the external auditors are satisfied with the disclosure and content of the financial statements, including the nature and extent of any significant changes in accounting principles

<table>
<thead>
<tr>
<th>Frequency</th>
<th>Planned Timing</th>
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<tbody>
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4. Review management’s written responses to significant findings and recommendations of the auditors, including the timetable to correct the weaknesses in the internal control system

<table>
<thead>
<tr>
<th>Frequency</th>
<th>Planned Timing</th>
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<tbody>
<tr>
<td>X</td>
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</table>

5. Advise management and the external auditor that they are expected to provide a timely analysis of significant current financial reporting issues and practices

<table>
<thead>
<tr>
<th>Frequency</th>
<th>Planned Timing</th>
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<tr>
<td>X</td>
<td>X</td>
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</table>

VCU BOV Audit, Integrity and Compliance Committee Meeting Planner, presented to the BOV May 2017
A = Annually; Q = Quarterly; AN = As Necessary

<table>
<thead>
<tr>
<th>Frequency</th>
<th>Planned Timing</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Q</td>
</tr>
<tr>
<td>Q1, Q2, Q3, Q4 based on Fiscal Year (July – June)</td>
<td>Sep</td>
</tr>
<tr>
<td>6. Monitor the university’s conflict of interest policies and related procedures</td>
<td>X</td>
</tr>
<tr>
<td>7. Require Audit and Compliance Services to perform annual reviews of the president’s discretionary accounts and to issue a report thereon to the Committee</td>
<td></td>
</tr>
</tbody>
</table>

C. External Controls

1. Meet with external auditors and university management to review the scope of the external audit for the current year | X   |     |     | X   |
2. Discuss with the external auditors their processes for identifying and responding to key audit and internal control risks | X   |     |     | X   |
3. Review the coordination of internal and external audit procedures to promote an effective use of resources and ensure complete and efficient coverage of the university’s risks |     | X   |     | X   |
4. Meet with the external auditors at the completion of the audit | X   |     |     | X   |

D. Internal Auditors

1. Review and approve the annual audit and management services work plan and any significant changes to the plan | X   |     |     | X   |
2. Review the qualifications of the audit and management services staff, the adequacy of the staffing level, and the department budget | X   |     | X   |
3. Assess the effectiveness of the internal audit function, including its independence and reporting relationships | X   |     | X   |
4. Review completed audit reports and progress reports on executing the approved work plan | X   | X   | X   | X   | X   |
5. Review annually the status of previously issued internal audit findings | X   |     | X   |
6. Inquire of the Executive Director of Audit and Compliance Services regarding any difficulties encountered in the course of his audits, including any restrictions on the scope of work or access to required information | X   | X   | X   | X   | X   | X   |
7. Review the performance of the Executive Director in consultation with the President and approve the Executive Director’s annual salary compensation and bonus, if any. | X   |     | X   |
8. Review and approve the appointment, replacement, reassignment, or dismissal of the Executive Director of Audit and Compliance Services | X   |     |     |
### Data Integrity

1. Review the adequacy of the university’s IT management methodology with regards to internal controls, including applications, systems, and infrastructure. This includes but is not limited to:
   - Physical and virtual security with regards to university servers and storage
   - Network security architecture and operations
   - Reliability and robustness of data center (servers and storage) and network infrastructure environments
   - Disaster recovery and business continuity infrastructure and associated processes and procedures

2. Review the adequacy of the university’s data management policies and procedures to ensure data security and data integrity in institutional reporting. This includes but is not limited to:
   - Authentication and authorization mechanisms in accessing university data
   - Data Governance structure and policies
   - Data security policies

### University Ethics and Compliance Program

1. Review the annual compliance planned initiatives and any significant changes to the plan
2. Review the qualifications of the compliance staff and the level of staffing (utilization and effort focus)
3. Assess the effectiveness of the compliance program, including its independence and reporting relationships
4. Review completed compliance reports and progress reports on the status of compliance and integrity related activities initiatives including process and plans in place to assess conflict of interest management (inclusive of institutional and individual conflicts).
5. Require the Integrity and Compliance Office to report on management’s processes and procedures that provide assurance that the university’s mission, values, and codes of conduct and universitywide policies are properly communicated to all employees.
<table>
<thead>
<tr>
<th>Frequency</th>
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<tbody>
<tr>
<td>A</td>
<td>Q</td>
</tr>
<tr>
<td>Sep</td>
<td>Dec</td>
</tr>
</tbody>
</table>

6. **Review results of compliance reviews to ensure system and controls are designed to reasonably ensure compliance with laws and regulations, university policies and the code of conduct.**
   - Review the university’s code of conduct annually and direct management to establish a system reasonably designed to reasonably assure compliance with the code.
   - Review results of compliance reviews to ensure system and controls are designed to reasonably ensure compliance with laws and regulations, university policies and the code of conduct.
   - Review results of compliance reviews to ensure system and controls are designed to reasonably ensure compliance with laws and regulations, university policies and the code of conduct.
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   - Review results of compliance reviews to ensure system and controls are designed to reasonably ensure compliance with laws and regulations, university policies and the code of conduct.

7. Inquire of the Executive Director of Audit and Compliance Services whether there have been any restrictions on the scope of work or access to required information in conducting compliance and ethics reviews.

8. **Enterprise Risk Management**
   - Provide oversight of the university’s Enterprise Risk Management program.
   - Review the university’s risk appetite.
   - Require periodic reporting on the overall program’s design and effectiveness, including newly identified risks.
   - Monitor progress of Risk Mitigation Plans and review policy and resource improvements as necessary.

9. **Legal**
   - Consult as necessary with University Counsel regarding legal issues concerning the university.

---

VCU BOV Audit, Integrity and Compliance Committee Meeting Planner, presented to the BOV May 2017
Virginia Commonwealth University  
University Audit and Management Services  
Proposed Audit Plan  
July 1, 2017 - June 30, 2018

**RISK-BASED AUDITS:**

<table>
<thead>
<tr>
<th>Audit</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Graduate Admissions</td>
<td>365</td>
</tr>
<tr>
<td>Institutional Review Board</td>
<td>365</td>
</tr>
<tr>
<td>IACUC (Animal Resources)</td>
<td>365</td>
</tr>
<tr>
<td>HR - Termination Processes</td>
<td>365</td>
</tr>
<tr>
<td>Vice President - Health Sciences Office</td>
<td>385</td>
</tr>
<tr>
<td>Facilities Management - Construction</td>
<td>415</td>
</tr>
<tr>
<td>Controller's Office</td>
<td>365</td>
</tr>
<tr>
<td>Recreational Sports</td>
<td>265</td>
</tr>
<tr>
<td>College Humanities and Sciences Administrative Review (including IT)*</td>
<td>600</td>
</tr>
<tr>
<td>School of Engineering (including IT)*</td>
<td>600</td>
</tr>
<tr>
<td>School of Medicine - Pediatrics**</td>
<td>315</td>
</tr>
<tr>
<td>School of Medicine - Research Administration</td>
<td>315</td>
</tr>
<tr>
<td>Technology Incident Response (moved from 2017)</td>
<td>365</td>
</tr>
<tr>
<td>School of Dentistry Technology (moved from 2017)</td>
<td>340</td>
</tr>
<tr>
<td>Development and Alumni Relations Technology</td>
<td>365</td>
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Subtotal: 5,790

**ANNUAL AUDITS:**

<table>
<thead>
<tr>
<th>Audit</th>
<th></th>
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</thead>
<tbody>
<tr>
<td>Athletics - Year 2 - NCAA Compliance Review</td>
<td>265</td>
</tr>
<tr>
<td>Follow-Ups on Outstanding Audit Recommendations</td>
<td>320</td>
</tr>
<tr>
<td>Prior Year Audit Carry-Over</td>
<td>250</td>
</tr>
<tr>
<td>Review of Selected Accounts</td>
<td>80</td>
</tr>
<tr>
<td>Risk Assessment</td>
<td>465</td>
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</table>

Subtotal: 1,380

**OTHER PROJECTS:**

<table>
<thead>
<tr>
<th>Project</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Investigations and Management Requests</td>
<td>1,300</td>
</tr>
<tr>
<td>Other Management Services</td>
<td>500</td>
</tr>
<tr>
<td>Data Analytics / Continuous Monitoring</td>
<td>300</td>
</tr>
<tr>
<td>Enterprise Centers and Institutes</td>
<td>365</td>
</tr>
<tr>
<td>IT Security Special Project - Internet of Things (IoT)</td>
<td>265</td>
</tr>
<tr>
<td>Work Paper System Support</td>
<td>175</td>
</tr>
</tbody>
</table>

Subtotal: 2,905

**TOTAL**: 10,075

* Integrated with IT Audit  
** Consolidated with Health System Audit
FY 2018 Ethics and Compliance Program Initiatives

Maintenance of VCU’s Ethics and Compliance Program is substantively driven by the Federal Sentencing Commission’s Sentencing Guidelines, Chapter 8, which provide the basic and necessary minimum elements of an effective Ethics and Compliance Program; it is also driven by our own mission and values reflected in our Code of Conduct and university policies; excellent business sense; and the needs of the organization. To continue to play an integral role in setting and upholding accountability within VCU’s culture and overall risk mitigation processes, the Compliance and Ethics Program provides advisory resources to all departments; reporting mechanisms to all employees, students and visitors; and regularly solicits interactions from a cross section of the university. Based on providing these services, interactions, and projects throughout FY 2017, the initiatives for FY 2018 reflect identified areas and topics wherein a devotion of additional time and attention are necessary to address, or continue, assurance of compliance requirements; ethical behaviors; and overall institutional integrity. Most of the topic below traverse multiple years due to the scope and size of the efforts. Year over year progress is made and any obstacles to these plans are shared with the Audit, Integrity and Compliance Committee of the Board of Visitor’s as the university’s governing authority.

FY 2018 Initiatives:

Integrity and Compliance Annual Report to BOV Audit and Compliance Committee – September Meeting
- Bolster Annual Issues and Events reporting results – to continue benchmarking internally; look to enhance with external to VCU data for appropriate comparisons
- Assist with development of additional monitoring processes
- Bolster universitywide training endeavors and results

Employee Ethics and Compliance Education
- Execution of fifth cycle Annual Employee Compliance Education – includes documentation of comprehension; re-assess risk based topics based on current environment of need
- Create role based modules for position within organization; explore new employee and continuing employee module options to include: Appropriately Responding to Concerns and Avoiding the Appearance of Retaliation
- Create and execute Ethical Leadership Workshop (details below in Ethics §)
- Execution of high profile events during National Ethics & Compliance Week scheduled for November 5–11, 2017 to include Compliance Partner Open House and National Ethics Expert for universitywide open forum and for targeted leadership group session RE: Giving Voice to Values
- Continued participation in New Employee Orientations and New Chair Training / Development
Code of Conduct Enhancements

- Conduct triennial review of document with interdisciplinary taskforce input and Compliance Advisory Committee
- Transfer Ethical Standards (basis of the Code of Conduct) into policy template and elaborate on definitions of standards and codify into formal policy requirements

Conflicts of Interest

- Obtain final approval and implement Institutional and Individual Conflict of Interest policy
  - To include set expectations; required reporting; compliance with required committee review process; and managing of identified conflicts
- Creation of formal Interest Disclosure Review Committee – to include training on expectations outlined in policy’s requirements
- Continued service as liaison to Commonwealth for mandated state disclosure
- Continued utilization of structured process addressing interest disclosure reporting by designated individuals
- Continued support in responding to inquiries related to proactive avoidance regarding institutional conflicts and conflicts of commitment

Ethics

- As noted above, sponsoring expert guest speaker to community Giving Voice to Values in Fall of 2017
- Implement enhancements to current employee exit interview process – a collaboration with Human Resources
- Continue ethics based education to middle management and supervisory personnel
- Execute ethical education/training/workshop
  - To include implementation of ethical leadership training for pilot group: A Leader’s Guide to Integrity – Uphold the Black and Gold

Gap and Risk Assessment Activities

- Continue quarterly oversight monitoring for timely compliance reporting through responsible parties outlined in Compliance Calendar: Federal Regulatory Reporting Requirements
- Compliance and Ethics Assessment results of respective areas to Cabinet Members (to include federal regulatory compliance; policy compliance and accuracy; recurring internal audit themes; reported concerns outcomes and trends – with focus on civility and professionalism)
- Begin assessment of compliance with state code; executive orders; and SCHEV requirements
- Risk-based reports to Cabinet and Board Members regarding satisfied or deficient compliance obligations based on Federal Regulatory Grid
  Note: These activities will involve a collaborative approach with appropriate Compliance Partners

Monitoring Specifics

- Security and Privacy policy and process review for VCU’s covered components within the Affiliated Covered Entity designations
• Compliance with the Clery Act: Continue to provide compliance review of the Annual Security and Fire Report before public issuance

• Safety and Protection of Minors Policy Compliance: Fully execute review of compliance with requirements

• Outside Professional Activities Policy Compliance: Fully execute review of compliance with requirements

• Centers and Institutes Current State Assessment: Fully execute review of operations – in partnership with Internal Audit function

Infrastructure Enhancements for Maximum Efficiency

• Full integration of institutional e-solution for compliance monitoring and issues and events/case management – serves areas currently tracking matters manually and/or in silos for enhanced reporting

• Continue communication avenue of social media presence

Internal Staff Development

• Attendance at national level conferences for all ICO personnel

• 3rd Annual Reflection and Strategy Retreat

• Continued memberships with Society of Corporate Compliance and Ethics; Health Care Compliance Association; Association of College and University Policy Administrators; Open Compliance and Ethics Group; Ethics and Compliance Initiative; and Systems Research and Applications (SRA) International

• Employees supported in maintaining and obtaining professional certification(s) in Compliance and Ethics and participation in all university-offered development opportunities

Policy Program – for all universitywide policies

• Partner with policy owners or area leadership to provide seminal policy reminders and tips for compliance to broader university community

• Continued gap assessment based on size, scope and complexity of university, and industry trends and standards

• Continue creation of universitywide term glossary for clarity and consistency
  o Data related terms and research related terms already created
  o Continue implementing consistent term use from finalized glossary

• Continued support in policy creation, revision and formal approval processes
  o Topics identified as needing additional assistance in the coming fiscal year: Information Technology; Privacy and Data Governance; Procurement; Human Resources; and SACS based required policies for Accreditation
  o To include: bi-annual Policy Writers’ Workshop

• Identify and maintain obligations for regulatory policy creation and maintenance as required by the Code of Virginia; Executive Orders in Virginia and from the US Government

• Continued centralization and data normalization

• Continued monitoring of timely triennial review and interim status
Continued Participation and Resource Support and Assistance to various ethics and compliance-oriented groups and committees:

- Clery Compliance Workgroup
- Communicators Network
- Sponsorship and Chair duties for Compliance Advisory Committee (CAC)
- Data Information Management Committee; and Steering Committee
- Employee Performance Subcommittee (under Tier 3 restructure plan)
- Enterprise Risk Management Committee
- Ethics-based consultations; facilitated discussions; and assessments upon request
- Export Controls Committee
- Faculty Search Committees
- Higher Education Opportunity Act - monitoring for compliance requirements
- Learning Management System Implementation Group (under Tier 3 restructure plan)
- Learning Management System Governance Steering Committee (under Tier 3 restructure plan)
- Partnership Assessment Taskforce and Policy Finalization
- Policy Consultations Related to Creation, Revision, and Governance
- Research Administrators Meeting
- Safety Liaison Committee
- Staff Senate – Employee Recognition and Rewards Subcommittee
- State Regulatory Coordinator (liaison to Commonwealth for VCU)
- Title IX Steering Committee
- Continued tracking of Office of Inspector General’s Annual Work Plan for topics affecting the university
- Participation in Tabling and Speaking Events on Campus
  - Tech Fair
  - HR Benefits Fair

As a reminder, this committee will be receiving the Integrity and Compliance Annual Report at the September 2017 Meeting. The anticipated effect of providing the fiscal year Annual Compliance Program Initiatives at the May Board Meeting and the Annual Report at the September Meeting is to assure that mechanisms exist to keep this committee abreast of continued compliance efforts demonstrating effectiveness of the Ethics and Compliance Program. This committee is the appropriate authority to best assess the Ethics and Compliance Program’s effectiveness. If there are suggestions or recommendations from the committee, please contact the Executive Director of Audit and Compliance Services or the University Integrity and Compliance Officer.